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**POOLED**  
**ENGAGEMENT**  
**2020 Annual Report**

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Annual Review of Pooled Engagement Activities for the  
period ending December 31, 2020



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## INTRODUCTION

In 2020, ISS ESG was mandated to represent clients under the Pooled Engagement service in engagement on environmental, social, and governance issues with 142 companies covering 214 individual ESG topics, across 48 different locations.

ISS ESG's Pooled Engagement 2020 Annual Report presents an overview of all engagement activities carried out and summarizes the overall engagement progress and trends.

ISS ESG's Pooled Engagement service is focused on encouraging corporate disclosure of efforts taken to manage or mitigate the environmental and social risks connected to business activities or operations.

This next section describes the ISS ESG engagement approach, followed by a presentation of overall engagement statistics for 2020. Then this report includes a detailed account of all 2020 engagement activities undertaken on behalf of investors, comprising about 60 asset owners and managers representing more than USD 2.2 trillion in total assets under management.

The detailed engagement reports, timelines and documentation for the individual companies listed in the report are available to Pooled Engagement clients online via the [Pooled Engagement Tool](#).

## OUR ENGAGEMENT APPROACH

ISS ESG’s Pooled Engagement service is focused on encouraging corporate disclosure of efforts taken to manage or mitigate the environmental and social risks connected to business activities or operations. The Pooled Engagement service enables participating asset owners and managers to wield more influence than through solo engagements, while saving time and resources.

### INITIATING ENGAGEMENT

ISS ESG’s Pooled Engagement service focuses on companies that are assessed under ISS ESG Norm-Based Research to be involved in alleged or verified severe, systematic or systemic failures to respect international norms. Engagement under the service is preceded by in-depth research and fact-finding dialogues with companies and stakeholders. Through these feasibility studies, ISS ESG identifies gaps in company disclosure and whether the desired level of disclosure can be achieved through investor dialogue. Influential factors include an estimation of the company’s level of responsibility, steps it has taken to mitigate the possible failure to respect a norm, and availability of both stakeholder and expert sources to facilitate constructive dialogue.

At the outset of engagement, clear and actionable objectives are defined on the basis of expectations regarding the company’s ability to address shortcomings in the context of its specific business sector and relevant industry standards. These objectives fall under four key categories (Disclosure, Implementation, Remediation, Termination) and progress is measured against four milestones (No measure announced, Commitment expressed, Measures initiated, Credible measures adopted).

Information provided by the company through the dialogue and interactions under the Pooled Engagement process are assessed against the objectives established at the outset of engagement and then a decision is taken on the outcome of the engagement. Where the fulfilment of the objectives has been met and a determination made that the controversy, or the risk thereof, has been resolved, the engagement will be closed. If there is insufficient information to determine whether the fulfilment of objectives have been met, the engagement will be extended. Alternatively, where there is a poor outlook for the achievement of objectives for the engagement, the engagement will be discontinued.

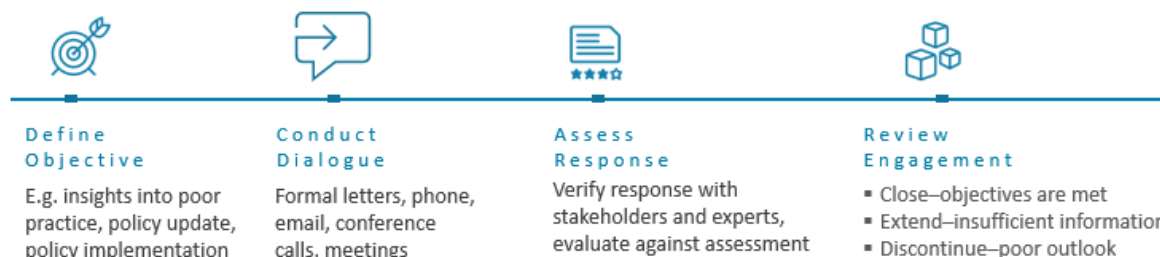


Figure 1: Simplified Pooled Engagement process.

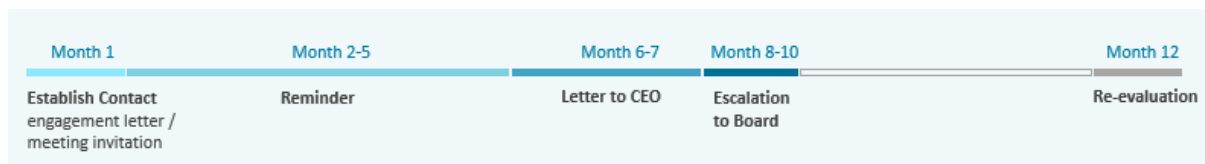
### CONDUCTING EFFECTIVE ENGAGEMENT DIALOGUE

Pooled Engagement aims to build relationships that facilitate constructive dialogue, enabling investors to exercise their influence as owners. ISS ESG’s Pooled Engagement approach encourages

companies to elaborate on efforts taken to design and implement better risk management systems to minimize the risk for re-occurrence of failures to respect international norms. Through the service, information is sought on whether a company has proven successful in implementing a genuine reduction in risk.

## ELICITING RESPONSES FROM NON-RESPONSIVE COMPANIES

Over time, responsiveness is noted with most companies with which engagement is sought. Others require repeated follow-ups to respond, and some steadfastly fail to respond to investor concerns. To address these challenges in communication, regular and courteous follow-up is built into the Pooled Engagement approach. Once every effort has been made to engage both Investor Relations and a company's Executive Management, the feasibility of engagement is re-evaluated.



**Figure 2: Simplified Pooled Engagement timeline.**

## 2020 ENGAGEMENT STATISTICS

During 2020 ISS ESG conducted Pooled Engagement on behalf of clients with 142 companies, covering 214 individual ESG topics. To assist investors with their reporting requirements, the statistics presented are derived from the engagement dialogues for which ISS ESG was conferred the mandate to act on investors' behalf during 2020.

Charts 1-4: Summary charts of engagements conducted for the period commencing 1<sup>st</sup> January 2020 to the 31<sup>st</sup> December 2020

Chart 1

### Geographic Region (Domicile)

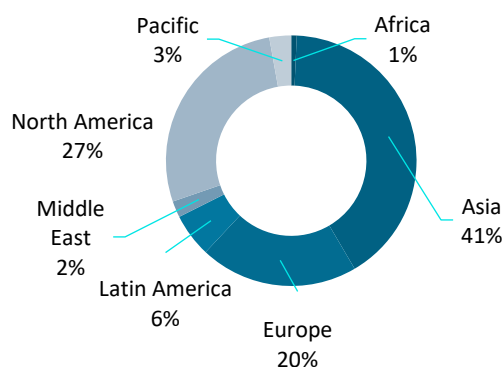


Chart 2

### ESG Area Breakdown

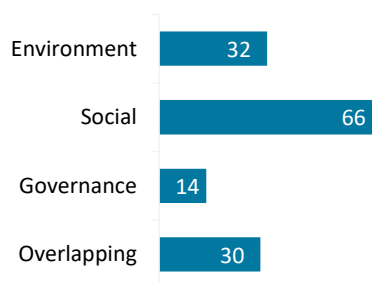


Chart 3

### Response Rate

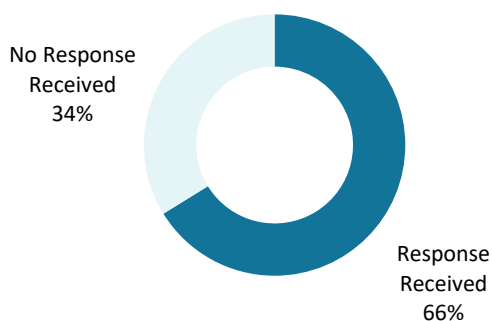
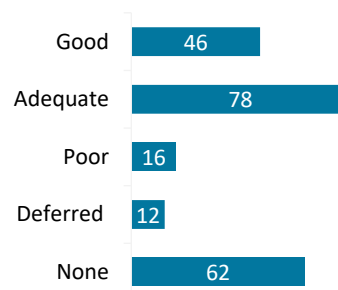


Chart 4

### Quality of Participation (as defined in footnote)



1





<sup>1</sup> Participation quality definitions: **Good:** Company has replied and addressed the topics. **Adequate:** Company has responded, but not fully. **Poor:** Company responded but did not address the topics. **Deferred:** Company has requested more time to respond. **None:** No response received.

## ENGAGEMENT THEMES IN 2020

The engagements are categorized under the four United Nations (UN) Global Compact areas: human rights, labour rights, environment, and anti-corruption. Poor stakeholder consultation, and concerns regarding the right to life, especially related to consumer health, were the key topics under human rights. Workplace health and safety was the dominant labour rights theme, with union rights following. The majority of environment-focused engagements related to corporate management of incidences involving loss of biodiversity, as well as climate change and pollution (air, water and soil). For companies facing controversies on their anti-corruption management systems, engagement focused on their efforts to address reported incidences of bribery and money laundering.

The following table provides an overview of major engagement themes in 2020.

*Table 1: Major engagement themes in 2020 based on topic area (multiple topic areas may be relevant under an individual engagement)*

UN GLOBAL COMPACT PRINCIPLES	NORM AREA	TOPIC AREA
1-2	 Human Rights	Poor stakeholder consultation
		Consumer health and rights
3-6	 Labour Rights	Workplace health and safety
		Union rights
7-9	 Environment	Depletion of biodiversity
		Climate change
10	 Anti-Corruption	Bribery
		Money laundering

To explore ISS ESG insights on investor outlooks for 2021 with climate change, biodiversity, human capital management, and other key topics, access the global and regional reports [on the ISS webpage](#).

## ACTIONS AND OUTCOMES OF 2020 ENGAGEMENTS

Through Pooled Engagement, participating investors elicited greater transparency from companies. In most cases, improvements in disclosure and openness to dialogue were achieved gradually after persistent reminders and follow-up. Engagement success was achieved with companies which increased transparency, stopped a controversial practice or announced a concrete and time-bound strategy for risk mitigation.

### SELECTED ENGAGEMENT SPOTLIGHTS

The cases below illustrate some of the major 2020 engagement themes, including workplace health and safety, biodiversity depletion, climate change, bribery and union rights. They portray both successes and remaining work to be done.

#### **JBS SA**

The meat sector faced stakeholder criticism in 2020 regarding protecting its workforce from COVID-19-related risks. Meat processing plants were frequently hotspots of coronavirus-related infections and deaths, given that much of the work involves employees closely laboring on fast-moving production lines. As part of the Q4 2020 Pooled Engagement cycle, ISS ESG initiated a dialogue with Brazilian meat processor JBS SA on the topic of working conditions at its U.S. facilities amid the pandemic. In response, the company highlighted such supportive actions as removing medically vulnerable employees – including workers over 65 years old – from its U.S. facilities. Also, JBS commissioned three third-party organizations to review and supplement its COVID-19 prevention and mitigation strategies and said it implemented all recommendations provided by these consultants. This investor dialogue also raised the topic of allegations by multiple stakeholders of JBS sourcing cattle from suppliers involved in illegal deforestation in the Brazilian Amazon rainforest. JBS responded by noting such programs as Together for the Amazon, a range of long-term initiatives aimed at increasing conservation and development of the biome by engaging the entire industry. Pillars of this program include the JBS Green Platform, a blockchain-based tool will enable the company to extend to other links in its production chain the same socioenvironmental monitoring already applied to its direct suppliers in the Amazon. Although the Amber signals remain on these controversies, ISS ESG holds the working conditions engagement as an active of positive dialogue. However, ISS ESG has been engaging with JBS on Amazon deforestation since 2012 and while the company has demonstrated an openness and responsiveness to engagement on this topic it still has not taken enough action to end this controversy.

#### **RWE AG**

In November 2020, ISS ESG revised the Norm-Based Research signal for German energy company RWE AG (RWE) to Green from Amber, an assessment that dated back to November 2018. RWE faced criticism for its decision to extend the Hambach lignite mine in North Rhine Westphalia, Germany; NGOs and media reports stated that expanding this fossil fuel source to fuel the company's power stations was contrary to Germany's long-term plans to combat climate change. Furthermore, the mine's extension depended on clearing half of the remaining Hambach forest, which stakeholders call one of the oldest mixed forests in Europe with a unique ecosystem. In a May 2020 investor dialogue, RWE confirmed that, as part of then-pending legislation to end coal-fired power generation in Germany, it had reached an agreement with the government to preserve the forest.



Then in November 2020, RWE informed ISS ESG that the coal-exit law had been approved by the German legislature, enshrining the protection of the forest. Furthermore, the company stated that it had completed a carbon emissions inventory, committed to a science-based emissions target in line with the Paris Agreement, and reviewed the climate alignment of its industry associations. Considering that the Hambach forest is protected and the company has committed to curbing emissions, as well as to achieve carbon neutrality by 2040, ISS ESG deems the controversy to be resolved and closed this engagement in November 2020.

### **Samsung Electronics Co., Ltd.**

In 2020, investors, supported by ISS ESG, continued engaging with Samsung Electronics Co. Ltd., regarding the longstanding topic of bribery in South Korea, assessed as Red under Norm-Based Research, along with more recent allegations of the company's failure to respect union rights in South Korea, an Amber-signaled controversy. In investor dialogues during 2020, Samsung described measures initiated to address bribery since Samsung Vice Chairman Jay Y. Lee was sentenced to five years imprisonment in 2017 for paying KRW8.6 billion in bribes; these steps included strengthening the Corporate Compliance Team and the role of the Chief Compliance Officer, and launching an independent Compliance Committee. Furthermore, in March 2020 Samsung appointed an Independent Director as Chairman of the Board for the first time. Based on such actions, in January 2021 the Norm-Based Research assessment was upgraded to Amber and ISS ESG continues to monitor this topic for engagement. Separately, during the 2020 engagement dialogue Samsung highlighted recent efforts to help ensure that the company respects workers' rights to freedom of association and collective bargaining. Among these steps are worker rights training for all employees; workers' rights audits of its South Korean operations; and the 2018 recruitment of a human rights experts to be the company's global labor and human resources director. ISS ESG acknowledges the company's openness to dialogue and positive progress on these topics and has suspended these engagements pending further developments.

## 2020 ENGAGEMENT DETAILS

### ENGAGEMENTS IN 2020

In the following, information is provided on all engagement dialogues held during 2020. When dialogue was established, the tables present the milestones achieved against the objectives for the engagement.

ISS ESG uses the following goals and milestones to determine success of the engagement progress:

Engagement Goals	Disclosure of Relevant Information	Milestones	Credible Measures Adopted
	Termination of Problematic Practices		Measures Initiated
	Implementation of Relevant Policies		Commitment Expressed
	Remedial Action		No Measures Announced

For companies that did not provide an initial response, reminders were submitted to the investor relations department, to the attention of the CEO and, ultimately, to the attention of the Board Chairperson within a 12-month period. For these companies, information is provided on the status of the reminder and escalation process in a subsequent chapter.

## DIALOGUES HELD IN THE YEAR ENDING 31 DECEMBER 2020

This section lists all engagements in which a dialogue was established with the company, either via email or in a conference call. These engagements began in 2020 or a previous year. The below list overviews the companies taking part in the dialogues. The subsequent tables provide a synopsis of engagement for each of these companies: the point in time (quarter) of initial outreach, SDG alignment, topic theme and location, and progress towards the engagement goals.

### Engagements initiated in 2020

AES Gener SA  
Alphabet, Inc.  
AmerisourceBergen Corp.  
AntarChile SA  
Cardinal Health, Inc.  
Cargill, Inc.  
Chevron Corp.  
Deutsche Telekom AG  
Empresas Copec SA  
Endo International Plc  
ENGIE SA  
Facebook, Inc.  
Freeport-McMoRan, Inc.  
Fresenius Medical Care AG & Co. KGaA  
Fresenius SE & Co. KGaA  
G4S Plc  
GNL Quintero SA  
Google LLC  
Halliburton Co.  
Hangzhou Hikvision Digital Technology Co., Ltd.  
Hankook Technology Group Co., Ltd.  
Hon Hai Precision Industry Co., Ltd.  
Hyundai Heavy Industries Holdings Co., Ltd.  
JBS SA  
Kia Motors Corp.  
Kobe Steel, Ltd.  
Korea Shipbuilding & Offshore Engineering Co., Ltd.  
Korian SA  
LG Chem Ltd.  
Lyft, Inc.  
Mallinckrodt Plc  
MAXIMUS, Inc.  
McKesson Corp.  
Mitsubishi Electric Corp.  
Mitsui & Co., Ltd.  
MMC Norilsk Nickel PJSC  
NIKE, Inc.


Petróleo Brasileiro SA  
POSCO INTERNATIONAL Corp.  
PT Pertamina (Persero)  
Sienna Senior Living, Inc.  
SK Innovation Co., Ltd.  
Subaru Corp.  
Suzuki Motor Corp.  
Telefonaktiebolaget LM Ericsson  
Teva Pharmaceutical Industries Ltd.  
The AES Corp.  
The Coca-Cola Co.  
T-Mobile US, Inc.  
Total SE  
Toyota Motor Corp.  
Tyson Foods, Inc.  
Uber Technologies, Inc.  
UBS AG  
UBS Group AG  
Verizon Communications, Inc.  
Westpac Banking Corp.  
Westport Fuel Systems, Inc.  
Wilmar International Ltd.

### Engagements initiated in 2019

Amazon.com, Inc.  
Bunge Ltd.  
Coca-Cola Amatil Ltd.  
Grupo México S.A.B. de C.V.  
Loomis AB  
Rosneft Oil Co.  
Samsung Electronics Co., Ltd.  
Southern Copper Corp.  
Sumitomo Corp.  
Swedbank AB  
Tesla, Inc.  
The Boeing Co.

### Engagements initiated in 2018

Korea Electric Power Corp.

<b>AES Gener SA</b>		ISIN US00105DAB10
	SDG ALIGNMENT SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes	QUARTER Q3 2020
THEME Air pollution		LOCATION Chile
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated

<b>Alphabet, Inc.</b>		ISIN US02079K1079
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q2 2020
THEME Children's rights, Consumer rights and privacy		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION No measures announced
THEME Working conditions: Workplace health and safety		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION No measures announced
THEME Anti-competitive behaviour		LOCATION N/A
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A

Amazon.com, Inc.		ISIN US0231351067
	<p><b>SDG ALIGNMENT</b></p> <p>SDG 8: Decent Work and Economic Growth; 8.5: Achieve full and productive employment and decent work for all women and men</p> <p>SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers</p> <p>SDG 10: Reduced Inequalities; 10.1: Achieve and sustain income growth</p> <p>SDG 17: Partnerships for the Goals; 17.1: Strengthen domestic resource mobilization</p>	<p>QUARTER Q1 2019</p>
THEME Working conditions		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A
THEME Taxation		LOCATION Luxembourg
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION N/A
AmerisourceBergen Corp.		ISIN US03073E1055
	<p><b>SDG ALIGNMENT</b></p> <p>SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages</p>	<p>QUARTER Q1 2020</p>
THEME Consumer rights, Right to life		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated
AntarChile SA		ISIN CLP0362E1386
	<p><b>SDG ALIGNMENT</b></p>	<p>QUARTER Q2 2020</p>

SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels		
THEME Stakeholder consultation: Indigenous rights; Environmental impacts: Water pollution		LOCATION Chile
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION No measures announced
THEME Air pollution		LOCATION Chile
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION No measures announced

<b>Bunge Ltd.</b>		ISIN BMG169621056
	SDG ALIGNMENT SDG 15: Life on Land; 15.2: Sustainable management of all types of forests SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species	QUARTER Q4 2019
THEME Environmental impacts: Depletion of biodiversity, Climate change impacts, Deforestation		LOCATION Brazil
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION Measures initiated

<b>Cardinal Health, Inc.</b>		ISIN US14149YAP34
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages	QUARTER Q1 2020

THEME Consumer rights, Right to life		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated

Cargill, Inc.		ISIN US141781AX24
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers SDG 15: Life on Land; 15.2: Sustainable management of all types of forests SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species	QUARTER Q3 2020

THEME Environmental impacts: Depletion of biodiversity; Climate change impacts; Deforestation		LOCATION Brazil
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION No measures announced

THEME Union rights		LOCATION Turkey
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION No measures announced


Chevron Corp.		ISIN US1667641005
	SDG ALIGNMENT SDG 17: Partnerships for the Goals; 17.1: Strengthen domestic resource mobilization	QUARTER Q1 2020
THEME Taxation		LOCATION Nigeria
	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated

GOALS SET & MILESTONES ACHIEVED	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated
<b>Coca-Cola Amatil Ltd.</b>		ISIN AU000000CCL2
 SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q4 2019	
THEME Union rights		LOCATION Indonesia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION No measures announced
<b>Deutsche Telekom AG</b>		ISIN DE0005557508
 SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q3 2020	
THEME Union rights		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated
<b>Empresas Copec SA</b>		ISIN CLP7847L1080
 SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels	QUARTER Q2 2020	
THEME Environmental impacts: Water pollution; Stakeholder consultation: Indigenous rights		LOCATION Chile
DISCLOSURE		IMPLEMENTATION OF POLICIES



GOALS SET & MILESTONES ACHIEVED	Measures initiated	Commitment expressed
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A
THEME Air pollution		LOCATION Chile
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated

Endo International Plc		ISIN IE00BJ3V9050
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages	QUARTER Q1 2020
THEME Consumer rights, Right to life		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Credible measures adopted
	TERMINATION OF PRACTICE Credible measures adopted	REMEDIAL ACTION Measures initiated

ENGIE SA		ISIN FR0010709279
	SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.1: Access for all to adequate, safe and affordable housing SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels	QUARTER Q1 2020
THEME Living standards, Forced displacement, Right to health, Indigenous rights, Stakeholder consultation		LOCATION Brazil
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated

THEME Environmental impacts: Depletion of biodiversity, Deforestation		LOCATION Brazil
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Commitment expressed

Facebook, Inc.		ISIN US30303M1027
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	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q1 2020
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THEME Consumer rights		LOCATION N/A
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GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated

THEME Working conditions: Workplace health and safety		LOCATION United States
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GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION Commitment expressed

Freeport-McMoRan, Inc.		ISIN US35671D8570
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	SDG ALIGNMENT SDG 6: Clean Water and Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes SDG 16: Peace, justice and Strong Institutions; 16.1: Reduce all forms of violence and related death rates everywhere	QUARTER Q1 2020
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THEME Right to health, Depletion of biodiversity, Water pollution		LOCATION Indonesia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated
THEME Human rights due diligence: Indigenous rights, Right to life		LOCATION Indonesia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Commitment expressed
THEME Working conditions: Union rights		LOCATION Indonesia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated
Fresenius Medical Care AG & Co. KGaA		ISIN DE0005785836
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q3 2020
THEME Bribery		LOCATION Niger
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Bribery		LOCATION Ivory Coast
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME		LOCATION

Bribery		Burkina Faso
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Bribery		LOCATION Chad
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Bribery		LOCATION Gabon
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Bribery		LOCATION Cameroon
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Bribery		LOCATION Senegal
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Bribery		LOCATION Benin
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated

Fresenius SE & Co. KGaA		ISIN DE0005785604
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q3 2020
THEME Bribery		LOCATION Niger
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Bribery		LOCATION Ivory Coast
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Bribery		LOCATION Burkina Faso
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Bribery		LOCATION Chad
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Bribery		LOCATION Gabon
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Bribery		LOCATION Cameroon


GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Bribery		LOCATION Senegal
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Bribery		LOCATION Benin
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated

G4S Plc		ISIN GB00B01FLG62
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour	QUARTER Q1 2020
THEME Working conditions: Forced labour, Modern slavery		LOCATION Qatar
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated

GNL Quintero SA		ISIN US36190CAA53
	SDG ALIGNMENT SDG 6: Clean Water and Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes	QUARTER Q3 2020

THEME Environmental impacts: Air and water pollution		LOCATION Chile
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION No measures announced

Google LLC		ISIN US38259PAA03
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	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q2 2020
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THEME Children's rights, Consumer rights		LOCATION United States
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GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION No measures announced


THEME Working conditions: Workplace health and safety		LOCATION United States
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GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION No measures announced


THEME Anti-competitive behaviour		LOCATION N/A
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GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION No measures announced

Grupo México S.A.B. de C.V.		ISIN MXP370841019
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	SDG ALIGNMENT SDG 6: Clean Water and Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials	QUARTER Q2 2019
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SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes		SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels	
THEME Environmental impacts: Pollution, Right to health			LOCATION Mexico
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated	
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated	
THEME Human rights due diligence: Right to life, Stakeholder consultation, Living standards			LOCATION Peru
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Commitment expressed	

Halliburton Co.		ISIN US406216AW19	
	SDG ALIGNMENT SDG 6: Clean Water and Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials	QUARTER Q2 2020	
	SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes		
	SDG 14: Life Below Water; 14.2: Sustainably manage and protect marine and coastal ecosystems		
THEME Depletion of biodiversity, Pollution			LOCATION Indonesia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed	
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated	

Hangzhou Hikvision Digital Technology Co., Ltd.		ISIN CNE100000PM8	
	SDG ALIGNMENT SDG 10: Reduced Inequalities; 10.3: Equal opportunities of outcome	QUARTER Q1 2020	





THEME Human rights due diligence: Torture / inhumane treatment; Right to privacy: Religious affiliation discrimination		LOCATION China
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION Commitment expressed

Hankook Technology Group Co., Ltd.		ISIN KR7000240002
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q2 2020
THEME Workplace health and safety		LOCATION South Korea
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated

Hankook Tire & Technology Co., Ltd.		ISIN KR7161390000
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q2 2020
THEME Workplace health and safety		LOCATION South Korea
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated


<b>Hon Hai Precision Industry Co., Ltd.</b>		ISIN US4380902019
	<p><b>SDG ALIGNMENT</b> SDG 8: Decent Work and Economic Growth; 8.5: Achieve full and productive employment and decent work for all women and men</p> <p>SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers</p> <p>SDG 10: Reduced Inequalities; 10.1: Achieve and sustain income growth</p>	<p>QUARTER Q1 2020/ Q4 2020</p>
<p><b>THEME</b> Working conditions: Forced labour, Living wage, Workplace health and safety</p>		<p><b>LOCATION</b> China</p>
<p><b>GOALS SET &amp; MILESTONES ACHIEVED</b></p>	<p><b>DISCLOSURE</b> No measures announced</p>	<p><b>IMPLEMENTATION OF POLICIES</b> No measures announced</p>
	<p><b>TERMINATION OF PRACTICE</b> No measures announced</p>	<p><b>REMEDIAL ACTION</b> No measures announced</p>


<b>Hyundai Heavy Industries Holdings Co., Ltd.</b>		ISIN KR7267250009
	<p><b>SDG ALIGNMENT</b> SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages</p> <p>SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers</p>	<p>QUARTER Q1 2020</p>
<p><b>THEME</b> Workplace health and safety</p>		<p><b>LOCATION</b> South Korea</p>
<p><b>GOALS SET &amp; MILESTONES ACHIEVED</b></p>	<p><b>DISCLOSURE</b> Measures initiated</p>	<p><b>IMPLEMENTATION OF POLICIES</b> Measures initiated</p>
	<p><b>TERMINATION OF PRACTICE</b> N/A</p>	<p><b>REMEDIAL ACTION</b> Measures initiated</p>


<b>JBS SA</b>		ISIN USP59695AC39
	<p><b>SDG ALIGNMENT</b> SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages</p> <p>SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers</p> <p>SDG 15: Life on Land; 15.2: Sustainable management of all types of forests</p> <p>SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species</p>	<p>QUARTER Q4 2019/ Q4 2020</p>


SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms		
THEME Depletion of biodiversity, Climate change impacts, Deforestation		LOCATION Brazil
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated
THEME Workplace health and safety		LOCATION Brazil
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Commitment expressed
THEME Bribery		LOCATION Brazil
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Workplace health and safety		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated
<b>Kia Motors Corp.</b>		ISIN KR7000270009
	SDG ALIGNMENT SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning	QUARTER Q4 2020
THEME Opposition to climate change mitigation		LOCATION United States
	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed


GOALS SET & MILESTONES ACHIEVED	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A
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<b>Kobe Steel, Ltd.</b>		ISIN JP3289800009
	SDG ALIGNMENT SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes SDG 13: Climate Action; 13.3: Improve education, awareness-raising and human and institutional capacity on climate change	QUARTER Q2 2020
THEME Air pollution, Climate change impacts		LOCATION Japan
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION N/A

<b>Korea Electric Power Corp.</b>		ISIN KR7015760002
	SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.1: Access for all to adequate, safe and affordable housing SDG 13: Climate Action; 13.3: Improve education, awareness-raising and human and institutional capacity on climate change	QUARTER Q4 2018
THEME Environmental impacts: Air pollution, Climate change impacts		LOCATION South Africa
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A
THEME Living standards, Right to life, Stakeholder consultation		LOCATION Laos
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated

<b>Korea Shipbuilding &amp; Offshore Engineering Co., Ltd.</b>		ISIN KR7009540006
	<p><b>SDG ALIGNMENT</b> SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages</p> <p>SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers</p>	QUARTER Q1 2020
THEME Workplace health and safety		LOCATION South Korea
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION N/A


<b>Korian SA</b>		ISIN FR0010386334
	<p><b>SDG ALIGNMENT</b> SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages</p>	QUARTER Q4 2020
THEME Right to life, Consumer rights		LOCATION France
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated


<b>LG Chem Ltd.</b>		ISIN KR7051911006
	<p><b>SDG ALIGNMENT</b> SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages</p>	QUARTER Q4 2020
THEME Right to life		LOCATION India
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated

<b>Loomis AB</b>		ISIN SE0002683557
	<b>SDG ALIGNMENT</b> SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q3 2019
<b>THEME</b> Working conditions: Union rights		<b>LOCATION</b> Turkey
<b>GOALS SET &amp; MILESTONES ACHIEVED</b>	<b>DISCLOSURE</b> Measures initiated	<b>IMPLEMENTATION OF POLICIES</b> Commitment expressed
	<b>TERMINATION OF PRACTICE</b> No measures announced	<b>REMEDIAL ACTION</b> No measures announced



<b>Lyft, Inc.</b>		ISIN US55087P1049
	<b>SDG ALIGNMENT</b> SDG 8: Decent Work and Economic Growth; 8.5: Achieve full and productive employment and decent work for all women and men SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers SDG 10: Reduced Inequalities; 10.1: Achieve and sustain income growth	QUARTER Q1 2020
<b>THEME</b> Working conditions: Living wage, Workplace health and safety		<b>LOCATION</b> United States
<b>GOALS SET &amp; MILESTONES ACHIEVED</b>	<b>DISCLOSURE</b> No measures announced	<b>IMPLEMENTATION OF POLICIES</b> No measures announced
	<b>TERMINATION OF PRACTICE</b> No measures announced	<b>REMEDIAL ACTION</b> No measures announced

<b>Mallinckrodt Plc</b>		ISIN IE00BBGT3753
	<b>SDG ALIGNMENT</b> SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages	QUARTER Q1 2020
<b>THEME</b> Right to life, Consumer rights		<b>LOCATION</b> United States
<b>GOALS SET &amp; MILESTONES ACHIEVED</b>	<b>DISCLOSURE</b> Measures initiated	<b>IMPLEMENTATION OF POLICIES</b> Measures initiated
	<b>TERMINATION OF PRACTICE</b> Measures initiated	<b>REMEDIAL ACTION</b> Measures initiated


<b>MAXIMUS, Inc.</b>		ISIN US5779331041
	<b>SDG ALIGNMENT</b> SDG 8: Decent Work and Economic Growth; 8.5: Achieve full and productive employment and decent work for all women and men SDG 10: Reduced Inequalities; 10.1: Achieve and sustain income growth	QUARTER Q2 2020
THEME Working conditions		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Commitment expressed


<b>McKesson Corp.</b>		ISIN US58155QAD51
	<b>SDG ALIGNMENT</b> SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages	QUARTER Q1 2020
THEME Right to life, Consumer rights		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated


<b>Mitsubishi Electric Corp.</b>		ISIN DE0008621392
	<b>SDG ALIGNMENT</b> SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q2 2020
THEME Working conditions: Union rights		LOCATION Thailand
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Commitment expressed

<b>Mitsui &amp; Co., Ltd.</b>		ISIN JP3893600001
	<p><b>SDG ALIGNMENT</b></p> <p>SDG 11: Sustainable Cities and Communities; 11.1: Access for all to adequate, safe and affordable housing</p> <p>SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage</p> <p>SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species</p> <p>SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels</p>	QUARTER Q1 2020
THEME Living standards: Forced displacement, Right to health; Stakeholder consultation: Indigenous rights		LOCATION Brazil
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Environmental impacts: Depletion of biodiversity, Deforestation		LOCATION Brazil
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Commitment expressed
<b>MMC Norilsk Nickel PJSC</b>		ISIN RU0007288411
	<p><b>SDG ALIGNMENT</b></p> <p>SDG 6: Clean Water and Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials</p> <p>SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes</p>	QUARTER Q3 2020
THEME Pollution		LOCATION Russia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated



<b>NIKE, Inc.</b>		ISIN US6541061031
	SDG ALIGNMENT SDG 17: Partnerships for the Goals; 17.1: Strengthen domestic resource mobilization	QUARTER Q1 2020
THEME Taxation		LOCATION Netherlands
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A

<b>Petróleo Brasileiro SA</b>		ISIN BRPETRACNOR9
	SDG ALIGNMENT SDG 6: Clean Water and Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes SDG 14: Life Below Water; 14.2: Sustainably manage and protect marine and coastal ecosystems	QUARTER Q4 2019
THEME Depletion of biodiversity, Water pollution		LOCATION Brazil
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated

<b>POSCO INTERNATIONAL Corp.</b>		ISIN KR7047050000
	SDG ALIGNMENT SDG 15: Life on Land; 15.2: Sustainable management of all types of forests SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species	QUARTER Q1 2019
THEME Deforestation: Depletion of biodiversity, Climate change impacts		LOCATION Indonesia
	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Credible measures adopted

GOALS SET & MILESTONES ACHIEVED	TERMINATION OF PRACTICE Credible measures adopted	REMEDIAL ACTION Commitment expressed
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<b>PT Pertamina (Persero)</b>		ISIN USY7138AAA89
	SDG ALIGNMENT SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes SDG 14: Life Below Water; 14.2: Sustainably manage and protect marine and coastal ecosystems	QUARTER Q2 2020
THEME Depletion of biodiversity, Pollution		LOCATION Indonesia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated

<b>Rosneft Oil Co.</b>		ISIN RU000A0J2Q06
	SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes	QUARTER Q4 2019
THEME Environmental impacts: Depletion of biodiversity, Pollution		LOCATION Russia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated

<b>Samsung Electronics Co., Ltd.</b>		ISIN KR7005931001
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q4 2019
THEME Bribery		LOCATION


		South Korea
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A
THEME Union rights		LOCATION South Korea
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated


Sienna Senior Living, Inc.		ISIN CA52542T1021
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages	QUARTER Q4 2020
THEME Right to life, Consumer rights		LOCATION Canada
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Commitment expressed



SK Innovation Co., Ltd.		ISIN KR7096770003
	SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels	QUARTER Q1 2020
THEME Human rights due diligence: Right to health, Right to water, Indigenous rights		LOCATION Peru
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A


<b>Southern Copper Corp.</b>		ISIN US84265VAA35
	<p><b>SDG ALIGNMENT</b></p> <p><b>SDG 6:</b> Clean Water and Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials</p> <p><b>SDG 12:</b> Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes</p> <p><b>SDG 16:</b> Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels</p>	QUARTER Q2 2019
THEME Environmental impacts: Pollution, Right to health		LOCATION Mexico
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated
THEME Human rights due diligence: Right to life; Stakeholder consultation: Living standards		LOCATION Peru
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Commitment expressed
<b>Subaru Corp.</b>		ISIN JP3814800003
	<p><b>SDG ALIGNMENT</b></p> <p><b>SDG 13:</b> Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning</p>	QUARTER Q4 2020
THEME Opposition to climate change mitigation		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A


<b>Sumitomo Corp.</b>		ISIN JP3404600003
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q4 2019
THEME Working conditions: Living wage, Union rights, Workplace health and safety		LOCATION Honduras
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated

<b>Suzuki Motor Corp.</b>		ISIN JP3397200001
	SDG ALIGNMENT SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning	QUARTER Q4 2020
THEME Opposition to climate change mitigation		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A

<b>Swedbank AB</b>		ISIN SE0001877739
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.4: Reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime	QUARTER Q4 2019
THEME Money laundering		LOCATIONS N/A
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated


<b>Telefonaktiebolaget LM Ericsson</b>		ISIN XS0307504547
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q2 2020
THEME Bribery		LOCATION China
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Credible measures adopted	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION N/A
THEME Bribery		LOCATION Indonesia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
THEME Bribery		LOCATION Vietnam
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated
<b>Tesla, Inc.</b>		ISIN US88160R1014
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q3 2019
THEME Union rights		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION No measures announced

<b>Teva Pharmaceutical Industries Ltd.</b>		ISIN IL0006290147
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages	QUARTER Q1 2020
THEME Right to life, Consumer rights		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Commitment expressed

<b>The AES Corp.</b>		ISIN US00130H1059
	SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes SDG 15: Life on Land; 15.1: Ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels	QUARTER Q3 2020
THEME Environmental impacts: Depletion of biodiversity		LOCATION Panama
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE N/A	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION N/A
THEME Stakeholder consultation: Indigenous rights, Living standards		LOCATION Panama
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE N/A	IMPLEMENTATION OF POLICIES N/A
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION N/A
THEME Air pollution		LOCATION Chile

GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated

The Boeing Co.		ISIN US0970231058
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	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages	QUARTER Q4 2019
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THEME Right to life, Consumer rights	LOCATION Ethiopia
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GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Credible measures adopted	REMEDIAL ACTION Credible measures adopted

THEME Right to life, Consumer rights	LOCATION Indonesia
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GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Credible measures adopted	REMEDIAL ACTION Credible measures adopted

The Coca-Cola Co.		ISIN US191216AR14
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	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q2 2020
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THEME Working conditions: Union rights	LOCATION Philippines
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GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated

THEME Union rights	LOCATION Indonesia
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GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES No measures announced
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GOALS SET & MILESTONES ACHIEVED	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated
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T-Mobile US, Inc.		ISIN US591709AL49
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q3 2020
THEME Union rights		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Commitment expressed

Total SE		ISIN US89151E1091
	SDG ALIGNMENT SDG 6: Clean Water and Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes SDG 15: Life on Land; 15.1: Ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands	QUARTER Q3 2020
THEME Pollution		LOCATION Nigeria
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION Measures initiated
THEME Living standards: Living wage, Union rights, Workplace health and safety		LOCATION Nigeria
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION Commitment expressed

Toyota Motor Corp.		ISIN JP3633400001
	SDG ALIGNMENT SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning	QUARTER Q4 2020
THEME Opposition to climate change mitigation		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION N/A
Tyson Foods, Inc.		ISIN US9024941034
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q4 2020
THEME Workplace health and safety		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION No measures announced
Uber Technologies, Inc.		ISIN US90353T1007
 	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages SDG 8: Decent Work and Economic Growth; 8.5: Achieve full and productive employment and decent work for all women and men SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers SDG 10: Reduced Inequalities; 10.1: Achieve and sustain income growth	QUARTER Q1 2020
THEME Working conditions: Gender discrimination, Equal pay, Living wage, Workplace health and safety		LOCATION United States

GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION No measures announced
THEME Working conditions: Living wage, Workplace health and safety		LOCATION United Kingdom
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE No measures announced	REMEDIAL ACTION No measures announced
THEME Right to life, Consumer rights		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Measures initiated
UBS AG		ISIN CH0024899483
	SDG ALIGNMENT SDG 17: Partnerships for the Goals; 17.1: Strengthen domestic resource mobilization	QUARTER Q3 2020
THEME Taxation		LOCATION France
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated
UBS Group AG		ISIN CH0244767585
	SDG ALIGNMENT SDG 17: Partnerships for the Goals; 17.1: Strengthen domestic resource mobilization	QUARTER Q3 2020
THEME Taxation		LOCATION France
	DISCLOSURE No measures announced	IMPLEMENTATION OF POLICIES Measures initiated

GOALS SET & MILESTONES ACHIEVED	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated
<b>Verizon Communications, Inc.</b>		ISIN US92343VAC81
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q3 2020
THEME Union rights, Racial discrimination		LOCATION United States
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES No measures announced
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Measures initiated
<b>Westpac Banking Corp.</b>		ISIN AU000000WBC1
	SDG ALIGNMENT N/A	QUARTER Q1 2020
THEME Children's rights, Modern slavery, Human rights due diligence, Money laundering		LOCATION Philippines
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Measures initiated
	TERMINATION OF PRACTICE Measures initiated	REMEDIAL ACTION Commitment expressed
<b>Westport Fuel Systems, Inc.</b>		ISIN CA9609083097
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q2 2020
THEME Bribery		LOCATION China
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Measures initiated	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE N/A	REMEDIAL ACTION Measures initiated

Wilmar International Ltd.		ISIN SG1T56930848
	SDG ALIGNMENT SDG 15: Life on Land; 15.2: Sustainable management of all types of forests	QUARTER Q1 2020
THEME Environmental impacts: Depletion of biodiversity, Climate change impacts, Deforestation		LOCATION Indonesia
GOALS SET & MILESTONES ACHIEVED	DISCLOSURE Commitment expressed	IMPLEMENTATION OF POLICIES Commitment expressed
	TERMINATION OF PRACTICE Commitment expressed	REMEDIAL ACTION Commitment expressed

## UNRESPONSIVE COMPANIES AS AT 31 DECEMBER 2020

This section lists all companies to which we have sent engagement enquiries or reminders during 2020 but where we have not received any response from the company on the specific topic by 31 December 2020, in some cases despite escalating the enquiry to the CEO and/or Board.





The columns below overview the unresponsive companies, for which the subsequent tables provide further details, including the quarter of initial outreach, SDG alignment, topic theme and location, and a short summary of the status of engagement.

### Engagements initiated in 2020


AcBel Polytech, Inc.  
*Allergan Plc – corporate action in 2020, purchased by AbbVie*  
 Avary Holding (Shenzhen) Co., Ltd.  
 Bank of Baroda  
 boohoo group Plc  
 CCR SA  
 Changhong Meiling Co., Ltd.  
 CK Power Public Co. Ltd.  
 Elsewedy Electric Co.  
 FCA US LLC  
*General Dynamics Corp. - closed*  
*General Motors Co. - closed*  
 Glencore Plc  
*GS Holdings Corp. - closed*  
 Haoxiangni Health Food Co., Ltd.  
 Hyundai Motor Co., Ltd.  
 Indiabulls Real Estate Ltd.  
 Isuzu Motors Ltd.  
 Jiangsu Guotai International Group Co., Ltd.  
 Khon Kaen Sugar Industry Public Co. Ltd.  
 Lingui Developments Bhd.  
 Lu Thai Textile Co., Ltd.  
 Mazda Motor Corp.  
 McDonald's Corp.  
 Mitsubishi Motors Corp.  
 OFILM Group Co., Ltd.  
 Rio Tinto Ltd.  
 Rio Tinto Plc  
 SAIC Motor Corp. Ltd.  
 Samling Global Ltd.  
*Saudi Arabian Oil Co. - closed*  
*S-Oil Corp. - closed*  
 Victory City International Holdings Ltd.  
 Youngor Group Co., Ltd.  
 Zhen Ding Technology Holding Ltd.


### Engagements initiated in 2019

AUDI AG  
 BLD Plantation Bhd.  
*Cal-Comp Electronics (Thailand) Public Co., Ltd. - closed*  
 China Yangtze Power Co., Ltd.  
 First Quantum Minerals Ltd.  
*ICICI Bank Ltd. - closed*  
 Iflytek Co., Ltd.  
*Kinpo Electronics, Inc. - closed*  
 Porsche Automobil Holding SE  
*PT Sawit Sumbermas Sarana Tbk - closed*  
 TH Plantations Bhd.  
 ViacomCBS, Inc.  
 Xiamen Meiya Pico Information Co., Ltd.  
 Zhejiang Dahua Technology Co. Ltd.

AcBel Polytech, Inc.		ISIN TW0006282007
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour	QUARTER Q4 2020
THEME Environmental Impacts: Pollution		LOCATION China
STATUS OF ENGAGEMENT The company has yet to respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.		
Allergan Plc		ISIN IE00BD1NQJ95
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing	QUARTER Q1 2020
THEME Consumer fraud, Consumer health, Consumer rights		LOCATION United States
STATUS OF ENGAGEMENT The company did not respond to outreach in Q1 2020 and the reminder process was halted due to AbbVie, Inc.'s acquisition of Allergan Plc in May 2020. The engagement will be re-evaluated in 2021.		
AUDI AG		ISIN DE0006757008
	SDG ALIGNMENT SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes	QUARTER Q3 2019
THEME Environmental impacts: Air pollution		LOCATION Germany and United States
STATUS OF ENGAGEMENT As no response has been received following the escalation of the enquiry to the attention of the Board, the engagement topic covering Germany will be re-evaluated. Note that all remediation activities were completed in relation to the United States.		
Avary Holding (Shenzhen) Co., Ltd.		ISIN CNE100003GF5
	SDG ALIGNMENT	QUARTER Q4 2020

SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour	
THEME Forced labour, Human rights due diligence, Modern slavery, Religious affiliation discrimination	LOCATION China
STATUS OF ENGAGEMENT The company did not respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.	


Bank of Baroda		ISIN INE028A01013
 SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.4: Reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime	QUARTER Q3 2020 and Q3 2016	
THEME Money laundering	LOCATION South Africa and India	
STATUS OF ENGAGEMENT As no response was received following the escalation of the enquiry to the attention of the Board, the engagement will be re-evaluated. Note that the Norm-Based Research signal for the India controversy has been updated to Green and engagement and that engagement was closed on April 20, 2020.		


BLD Plantation Bhd.		ISIN MYL506900009
 SDG ALIGNMENT SDG 13: Climate Action; 13.3: Improve education, awareness-raising and human and institutional capacity on climate change SDG 15: Life on Land; 15.2: Sustainable management of all types of forests	QUARTER Q4 2019	
THEME Depletion of biodiversity, Climate change impacts, Deforestation	LOCATION Malaysia	
STATUS OF ENGAGEMENT As no response has been received following the escalation of the enquiry to the attention of the Board, the engagement will be re-evaluated.		

boohoo group Plc		ISIN JE00BG6L7297
 SDG ALIGNMENT	QUARTER Q4 2020	



<p>SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers</p> <p>SDG 10: Reduced Inequalities; 10.7: Facilitate orderly, safe, regular and responsible migration</p>	
<p><b>THEMES</b> Working conditions: Forced labour, Living wage, Modern slavery, Workplace health and safety</p>	<p><b>LOCATION</b> United Kingdom</p>
<p><b>STATUS OF ENGAGEMENT</b> The company has yet to respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.</p>	

<p>Cal-Comp Electronics (Thailand) Public Co., Ltd.</p>		<p><b>ISIN</b> TH0639010R13</p>
<p><b>SDG ALIGNMENT</b> SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour</p> <p> SDG 10: Reduced Inequalities; 10.7: Facilitate orderly, safe, regular and responsible migration</p>	<p><b>QUARTER</b> Q4 2020</p>	
<p><b>THEMES</b> Working conditions: Forced labour, Freedom of expression, Modern slavery</p>	<p><b>LOCATION</b> Thailand</p>	
<p><b>STATUS OF ENGAGEMENT</b> While the company failed to respond to investor outreach (in spite of reminder and the escalation process), the engagement was closed on 22 June 2020, as ISS ESG assessed that the company had initiated credible measures to address previous allegations that migrant workers were forced to pay recruitment fees and exposed to the associated risk of debt bondage and thus the Norm-Based Research assessment was revised to Green.</p>		

<p>CCR SA</p>		<p><b>ISIN</b> BRCCROACNOR2</p>
<p><b>SDG ALIGNMENT</b> SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms</p> <p></p>	<p><b>QUARTER</b> Q3 2020</p>	
<p><b>THEME</b> Bribery</p>	<p><b>LOCATION</b> Brazil</p>	
<p><b>STATUS OF ENGAGEMENT</b> As no response has been received following the escalation of the enquiry to the attention of the Board, the engagement will be re-evaluated.</p>		

<p>Changhong Meiling Co., Ltd.</p>		<p><b>ISIN</b> CNE000000BT4</p>
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<p><b>SDG ALIGNMENT</b> SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour</p>		<p><b>QUARTER</b> Q4 2020</p>
<p><b>THEME</b> Human rights due diligence: Forced labour, Modern slavery, Religious affiliation discrimination</p>		<p><b>LOCATION</b> China</p>
<p><b>STATUS OF ENGAGEMENT</b> The company has yet to respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.</p>		

<p>China Yangtze Power Co., Ltd.</p>		<p><b>ISIN</b> CNE000001G87</p>
<p><b>SDG ALIGNMENT</b> SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species</p>		<p><b>QUARTER</b> Q4 2019</p>
<p><b>THEME</b> Environmental impacts: Biodiversity</p>		<p><b>LOCATION</b> China</p>
<p><b>STATUS OF ENGAGEMENT</b> As no response has been received following the escalation of the enquiry to the attention of the Board, the engagement will be re-evaluated.</p>		

<p>CK Power Public Co. Ltd.</p>		<p><b>ISIN</b> TH4536010010</p>
<p><b>SDG ALIGNMENT</b> SDG 1: No Poverty; 1.4: Equal rights to economic resources, and access to basic services SDG 2: Zero Hunger; 2.1: End hunger and ensure access by all people to safe, nutritious and sufficient food SDG 15: Life on Land; 15.1: Ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands, SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels</p>		<p><b>QUARTER</b> Q2 2020</p>
<p><b>THEME</b> Environmental impacts: Depletion of biodiversity; Stakeholder consultation: Food security and improved nutrition, Forced displacement, Living standards, Right to health</p>		<p><b>LOCATION</b> Laos</p>
<p><b>STATUS OF ENGAGEMENT</b></p>		

The company has yet to respond to outreach as of Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on November 5.

Elsewedy Electric Co.

ISIN  
EGS3G0Z1C014



SDG ALIGNMENT

SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage

SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species

QUARTER  
Q1 2020

THEME

Environmental impacts: Depletion of biodiversity, Deforestation

LOCATION  
Tanzania

STATUS OF ENGAGEMENT

As no response has been received following the escalation of the enquiry to the attention of the Board, the engagement will be re-evaluated.

FCA US LLC

ISIN  
US17121EAC12



SDG ALIGNMENT

SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning

QUARTER  
Q4 2020

THEME

Opposition to climate change mitigation

LOCATION  
United States

STATUS OF ENGAGEMENT

The company has yet to respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.

First Quantum Minerals Ltd.

ISIN  
CA3359341052



SDG ALIGNMENT

SDG 15: Life on Land; 15.2: Sustainable management of all types of forests, 15.5: Protect and prevent the extinction of threatened species

QUARTER  
Q3 2019

THEME

Environmental impacts: Depletion of biodiversity, Climate change impacts, Deforestation, Pollution

LOCATION  
Panama




STATUS OF ENGAGEMENT



As no response has been received following the escalation of the enquiry to the attention of the Board, the engagement will be re-evaluated.





General Dynamics Corp.		ISIN US3695501086
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.1: Reduce all forms of violence and related death rates everywhere	QUARTER Q2 2020
THEME Human rights due diligence, Military / security supplies		LOCATION Yemen
STATUS OF ENGAGEMENT Engagement has been discontinued owing to a poor outlook for attaining the engagement objectives as the company maintains an unsustainable status quo and has failed to respond to investors' enquiries (in spite of reminder and the escalation process).		

General Motors Co.		ISIN US37045V1008
	SDG ALIGNMENT SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes	QUARTER Q4 2020
THEME Air pollution, Climate change impacts		LOCATION United States
STATUS OF ENGAGEMENT While the company failed to respond to investor outreach, the engagement was closed in December 2020, as General Motors Co. is no longer a member of the industry group Coalition for Sustainable Automotive Regulation, which is participating in legal proceedings that support a rollback of fuel-efficiency standards in the United States aimed at mitigating climate change. Considering that General Motors left the industry group, ISS ESG deems the company to no longer be involved in the controversy.		


Glencore Plc		ISIN JE00B4T3BW64
	SDG ALIGNMENT SDG 4: Education; 4.1: Ensure that all girls and boys complete free, equitable and quality primary and secondary education leading to relevant and effective learning outcomes SDG 6: Clean Water and Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q3 2020


SDG 17: Partnerships for the Goals; 17.1: Strengthen domestic resource mobilization	
<p><b>THEME</b> Working conditions: Modern slavery, Workplace health and safety; Pollution, Right to health, Right to water; Bribery; Taxation</p>	<p><b>LOCATION</b> Congo (Democratic Republic), Peru, Brazil and Australia</p>
<p><b>STATUS OF ENGAGEMENT</b> As no response has been received following the escalation of the enquiry to the attention of the CEO, the enquiry will be sent to the Board.</p>	
GS Holdings Corp.	
ISIN KR7078930005	
<p> <b>SDG ALIGNMENT</b> N/A</p>	<p><b>QUARTER</b> Q1 2020</p>
<p><b>THEME</b> Anti-competitive behaviour</p>	<p><b>LOCATION</b> South Korea</p>
<p><b>STATUS OF ENGAGEMENT</b> While the company failed to respond to investor outreach (in spite of reminder and the escalation process), the engagement was closed on December 11 2020, as ISS ESG assessed that the company had taken credible steps to address anti-competitive practices violations and thus the Norm-Based Research assessment was revised to Green.</p>	
Haoxiangni Health Food Co., Ltd.	
ISIN CNE100001222	
<p> <b>SDG ALIGNMENT</b> SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour</p>	<p><b>QUARTER</b> Q4 2020</p>
<p><b>THEME</b> Forced labour, Human rights due diligence, Modern slavery, Religious affiliation discrimination</p>	<p><b>LOCATION</b> China</p>
<p><b>STATUS OF ENGAGEMENT</b> The company has yet to respond to outreach in Q4 2019. As such, it is subject to the reminder and escalation process and a reminder will be sent to its Investor Relations Department.</p>	
Hyundai Motor Co., Ltd.	
ISIN KR7005380001	
<p> <b>SDG ALIGNMENT</b> SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers</p>	<p><b>QUARTER</b> Q4 2020</p>

SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning		
THEMES Opposition to climate change mitigation; Working conditions	LOCATIONS United States and South Korea	
<p>STATUS OF ENGAGEMENT</p> <p>The company has yet to respond to outreach on the climate change topic in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.</p> <p>While the company failed to respond to investor outreach (in spite of reminder and the escalation process), the engagement topic on working conditions in South Korea was closed on 28 April 2020, as ISS ESG assessed that the company was undertaking measures to make regular the employment situation of its several thousand workers found to be in a situation of “illegal dispatch,” and thus the Norm-Based Research assessment was revised to Green.</p>		
ICICI Bank Ltd.		ISIN USY38575CZ07
 SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q4 2019	
THEME Bribery	LOCATION India	
<p>STATUS OF ENGAGEMENT</p> <p>While the company failed to respond to investor outreach (in spite of reminder and the escalation process), the engagement was closed on September 1 2020, as the assessment signal of this controversy was changed to Green, taking note of the extended time that has elapsed since the alleged misconduct in India occurred.</p>		
Iflytek Co., Ltd.		ISIN CNE100000B81
 SDG ALIGNMENT SDG 10: Reduced Inequalities; 10.3: Equal opportunities of outcome	QUARTER Q4 2019	
THEME Human rights due diligence, Privacy, Religious affiliation discrimination	LOCATION China	
<p>STATUS OF ENGAGEMENT</p> <p>As no response has been received following the escalation of the enquiry to the attention of the Board, the engagement will be re-evaluated.</p>		

Indiabulls Real Estate Ltd.		ISIN INE069I01010
	SDG ALIGNMENT SDG 17: Partnerships for the Goals; 17.1: Strengthen domestic resource mobilization	QUARTER Q3 2020
THEME Taxation		LOCATIONS India
STATUS OF ENGAGEMENT As no response has been received following the escalation of the enquiry to the attention of the CEO, the enquiry will be sent to the Board.		
Isuzu Motors Ltd.		ISIN JP3137200006
	SDG ALIGNMENT SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning	QUARTER Q4 2020
THEMES Opposition to climate change mitigation		LOCATION United States
STATUS OF ENGAGEMENT The company has yet to respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.		
Jiangsu Guotai International Group Co., Ltd.		ISIN CNE000001PN5
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour	QUARTER Q4 2020
THEME Forced labour, Human rights due diligence, Modern slavery, Religious affiliation discrimination		LOCATION China
STATUS OF ENGAGEMENT The company did not respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.		
Khon Kaen Sugar Industry Public Co. Ltd.		ISIN TH0828010007
	SDG ALIGNMENT SDG 1: No Poverty; 1.4: Equal rights to economic resources, and access to basic services	QUARTER Q3 2020

SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels	
THEME Forced displacement, Stakeholder consultation	LOCATION Cambodia
STATUS OF ENGAGEMENT The Investor Relations department responded to the reminder email on 24 October 2020, promising to return with responses to the questions posed in the investor letter. However, since the company has since failed to address the questions in the investor letter, despite a reminder being sent on 15 December 2020, the enquiry will be escalated to the attention of the CEO.	

Kinpo Electronics, Inc.		ISIN TW0002312006
 <p>SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour SDG 10: Reduced Inequalities; 10.7: Facilitate orderly, safe, regular and responsible migration</p>	QUARTER Q4 2019	
THEME Working conditions: Forced labour, Freedom of expression, Modern slavery	LOCATION Thailand	
STATUS OF ENGAGEMENT While the company failed to respond to investor outreach (in spite of reminder and the escalation process), the engagement was closed on 22 June 2020, as ISS ESG assessed that the company had initiated credible measures to address previous allegations that migrant workers were forced to pay recruitment fees and were exposed to the associated risk of debt bondage. Thus, the Norm-Based Research assessment was revised to Green.		

Lingui Developments Bhd.		ISIN MYL20110O004
 <p>SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage SDG 15: Life on Land; 15.2: Sustainable management of all types of forests SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels</p>	QUARTER Q3 2020	
THEME Indigenous rights, Stakeholder consultation; Depletion of biodiversity, Deforestation	LOCATION Malaysia	
STATUS OF ENGAGEMENT		



As no response has been received following the escalation of the enquiry to the attention of the CEO, the enquiry will be sent to the Board.

Lu Thai Textile Co., Ltd.

ISIN  
CNE000000ST8



SDG ALIGNMENT

SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour

SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers

QUARTER  
Q4 2020

THEME

Working conditions: Workplace discrimination, Forced labour, Modern slavery

LOCATION

Myanmar, China and Cambodia

STATUS OF ENGAGEMENT

The company has yet to respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.

Mazda Motor Corp.

ISIN  
JP3868400007



SDG ALIGNMENT

SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning

QUARTER  
Q4 2020

THEME

Opposition to climate change mitigation

LOCATION

United States

STATUS OF ENGAGEMENT

The company has yet to respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.

McDonald's Corp.

ISIN  
US58013MEE03



SDG ALIGNMENT

SDG 5: Gender Equality; 5.1: End all forms of discrimination against all women and girls

SDG 5: Gender Equality; 5.2: Eliminate all forms of violence against all women and girls




SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers

SDG 10: Reduced Inequalities; 10.3: Equal opportunities of outcome

QUARTER  
Q4 2020

THEME


LOCATION

Workplace discrimination: Gender discrimination, Sexual harassment		United States
<p>STATUS OF ENGAGEMENT</p> <p>The company did not respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.</p>		
Mitsubishi Motors Corp.		ISIN JP3899800001
	<p>SDG ALIGNMENT</p> <p>SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning</p>	QUARTER Q4 2020
THEME Opposition to climate change mitigation		LOCATION United States
<p>STATUS OF ENGAGEMENT</p> <p>The company has yet to respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.</p>		
OFILM Group Co., Ltd.		ISIN CNE100000S33
	<p>SDG ALIGNMENT</p> <p>SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour</p>	QUARTER Q4 2020
THEME Forced labour, Human rights due diligence, Modern slavery, Social discrimination		LOCATION China
<p>STATUS OF ENGAGEMENT</p> <p>The company has yet to respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.</p>		
Porsche Automobil Holding SE		ISIN TH0637010008
	<p>SDG ALIGNMENT</p> <p>SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes</p>	QUARTER Q3 2019
THEME Environmental impacts: Air pollution		LOCATION Germany and United States
<p>STATUS OF ENGAGEMENT</p> <p>As no response has been received following the escalation of the enquiry to the attention of the Board, the engagement regarding failing to prevent air pollution in Germany will be re-evaluated. While the company failed to respond to investor outreach (in spite of reminder and the escalation process) also related to the</p>		

topic of failing to prevent air pollution in the United States, the U.S. engagement was closed on 24 September 2020, as ISS ESG assessed that the company had successfully completed its U.S. Department of Justice-appointed monitorship. As a result, engagement on the topic has been closed as the relevant Norm-Based Research assessment was revised to Green.

PT Sawit Sumbermas Sarana Tbk

ISIN  
ID1000130008

**SDG ALIGNMENT**  
 SDG 15: Life on Land; 15.2: Sustainable management of all types of forests  
 SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species

QUARTER  
Q4 2019



**THEME**  
Depletion of biodiversity, Climate change impacts, Deforestation

LOCATION  
Indonesia

**STATUS OF ENGAGEMENT**  
While the company failed to respond to investor outreach (in spite of reminder and the escalation process), the engagement was closed on 4 September 2020, as the assessment signal of this controversy was changed to Green, taking note that no new allegations have recently arisen. Thus, we have closed this engagement as no further dialogue is currently warranted.

Rio Tinto Ltd. / Rio Tinto Plc

ISIN  
AU000000RIO1 /  
GB0007188757




**SDG ALIGNMENT**  
  SDG 6: Clean Water and Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials  
 SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage  
 SDG 15: Life on Land; 15.1: Ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands  
 SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels




QUARTER  
Q4 2020





**THEME**  
Depletion of biodiversity, Deforestation, Environmental impacts, Pollution; Human rights due diligence, Indigenous rights, Stakeholder consultation

LOCATION  
Madagascar and  
Australia


**STATUS OF ENGAGEMENT**  
The company has yet to respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.

SAIC Motor Corp. Ltd.		ISIN CNE000000TY6
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour	QUARTER Q4 2020
THEME Forced labour, Human rights due diligence, Modern slavery, Social discrimination		LOCATION China
STATUS OF ENGAGEMENT The company has yet to respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.		
Samling Global Ltd.		ISIN BMG7782K1071
	SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage SDG 15: Life on Land; 15.2: Sustainable management of all types of forests, SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels	QUARTER Q3 2020
THEME Indigenous rights, Stakeholder consultation; Depletion of biodiversity, Deforestation		LOCATION Malaysia
STATUS OF ENGAGEMENT As no response has been received following the escalation of the enquiry to the attention of the CEO, the enquiry will be sent to the Board.		
Saudi Arabian Oil Co.		ISIN SA14TG012N13
	SDG ALIGNMENT N/A	QUARTER Q1 2020
THEME Anti-competitive behaviour		LOCATION South Korea
STATUS OF ENGAGEMENT While the company failed to respond to investor outreach (in spite of reminder and the escalation process), the engagement was closed on 11 December 2020, as ISS ESG assessed that Saudi Arabian Oil Co.'s 63.41%-owned subsidiary S-Oil Corp. had taken credible steps to address anti-competitive practices violations, and thus the Norm-Based Research assessment was revised to Green.		

S-Oil Corp.		ISIN KR7010950004
 SDG ALIGNMENT N/A		QUARTER Q1 2020
THEMES Anti-competitive behaviour		LOCATIONS South Korea
STATUS OF ENGAGEMENT While the company failed to respond to investor outreach (in spite of reminder and the escalation process), the engagement was closed on 11 December 2020, as ISS ESG assessed that the company had taken credible steps to address anti-competitive practices violations, and thus the Norm-Based Research assessment was revised to Green.		
TH Plantations Bhd.		ISIN MYL511200007
 SDG ALIGNMENT SDG 13: Climate Action; 13.3: Improve education, awareness-raising and human and institutional capacity on climate change SDG 15: Life on Land; 15.2: Sustainable management of all types of forests		QUARTER Q4 2019
THEME Environmental impacts: Depletion of biodiversity, Climate change impacts, Deforestation		LOCATION Indonesia
STATUS OF ENGAGEMENT As no response has been received following the escalation of the enquiry to the attention of the Board, the engagement will be re-evaluated.		
ViacomCBS, Inc.		ISIN US124857AD56
 SDG ALIGNMENT SDG 5: Gender Equality; 5.1: End all forms of discrimination against all women and girls SDG 5: Gender Equality; 5.2: Eliminate all forms of violence against all women and girls SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers SDG 10: Reduced Inequalities; 10.3: Equal opportunities of outcome		QUARTER Q3 2019
THEME Workplace discrimination: Gender discrimination, Racial discrimination		LOCATION United States
STATUS OF ENGAGEMENT As no response has been received following the escalation of the enquiry to the attention of the Board, the engagement will be re-evaluated.		

Victory City International Holdings Ltd.		ISIN BMG9358Q1463
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour	QUARTER Q4 2020
THEME Forced labour, Human rights due diligence, Modern slavery, Religious affiliation discrimination		LOCATION China
STATUS OF ENGAGEMENT The company has yet to respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.		
Xiamen Meiya Pico Information Co., Ltd.		ISIN CNE100001120
	SDG ALIGNMENT SDG 10: Reduced Inequalities; 10.3: Equal opportunities of outcome	QUARTER Q4 2019
THEME Human rights due diligence, Privacy, Religious affiliation discrimination		LOCATION China
STATUS OF ENGAGEMENT As no response has been received following the escalation of the enquiry to the attention of the Board, the engagement will be re-evaluated.		
Youngor Group Co., Ltd.		ISIN CNE000000XR2
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour	QUARTER Q4 2020
THEMES Forced labour, Human rights due diligence, Modern slavery, Religious affiliation discrimination		LOCATIONS China
STATUS OF ENGAGEMENT The company has yet to respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.		
Zhejiang Dahua Technology Co. Ltd.		ISIN CNE100000BJ4
	SDG ALIGNMENT	QUARTER

SDG 10: Reduced Inequalities; 10.3: Equal opportunities of outcome		Q4 2019
THEME Human rights due diligence, Privacy, Religious affiliation discrimination	LOCATION China	
STATUS OF ENGAGEMENT As no response has been received following the escalation of the enquiry to the attention of the Board, the engagement will be re-evaluated.		

Zhen Ding Technology Holding Ltd.		ISIN KYG989221000
SDG ALIGNMENT  SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour	QUARTER Q4 2020	
THEME Forced labour, Human rights due diligence, Modern slavery, Religious affiliation discrimination	LOCATION China	
STATUS OF ENGAGEMENT The company has yet to respond to outreach in Q4 2020. As such, it is subject to the reminder and escalation process and a reminder was sent to its Investor Relations Department on 10 December.		

## CLOSED ENGAGEMENT DIALOGUES IN 2020

Engagements with the following companies were completed during 2020, either based on the company's response or developments related to the controversy. These engagements began in 2020 or a previous year.

The columns below overview the unresponsive companies, for which the subsequent tables provide further details, including the quarter of initial outreach, SDG alignment, topic theme and location, and the motivation for closing the engagement.

### Engagements initiated in 2020

Accenture Plc  
BAE Systems Plc  
Cameco Corp.  
Chevron Corp.  
Dassault Aviation SA  
Electricity Generating Public Co., Ltd.  
Exor NV  
Facebook, Inc.  
Fiat Chrysler Automobiles NV  
General Dynamics Corp.  
General Motors Co.  
Global Power Synergy PCL  
GS Holdings Corp.  
Hyundai Heavy Industries Holdings Co., Ltd.  
Johnson & Johnson  
Mallinckrodt Plc  
National Australia Bank Ltd.  
Nissan Motor Co., Ltd.  
Rheinmetall AG  
RWE AG  
Saudi Arabian Oil Co.  
SK Holdings Co., Ltd.  
SK Innovation Co., Ltd.  
S-Oil Corp.  
The Coca-Cola Co.  
The Goldman Sachs Group, Inc.  
Uber Technologies, Inc.

### Engagements initiated in 2019

AbbVie, Inc.  
ALROSA PJSC  
AUDI AG  
Biogen, Inc.  
Cal-Comp Electronics (Thailand) Public Co., Ltd.  
Cargill, Inc.  
China Petroleum & Chemical Corp.  
Deutsche Bank AG  
Eni SpA

Golden Agri-Resources Ltd.  
ICICI Bank Ltd.  
Indivior PLC  
ING Groep NV  
Kinpo Electronics, Inc.  
Petróleo Brasileiro SA  
Porsche Automobil Holding SE  
PT Sawit Sumbermas Sarana Tbk  
PT Semen Indonesia (Persero) Tbk  
PT Solusi Bangun Indonesia Tbk  
Red Rock Resorts, Inc.  
Renault SA  
ROSSETI PJSC  
Royal Dutch Shell Plc (also 2017)  
Ryanair Holdings Plc  
Sibanye Gold Ltd.  
Station Casinos LLC  
The Boeing Co.  
The GEO Group, Inc.  
UnitedHealth Group, Inc.  
Volkswagen AG

### Engagements initiated in 2018

Airbus SE  
Anglo American Plc  
Bilfinger SE  
Bombardier, Inc.  
Corporación Financiera Colombiana SA  
Cosan Logística SA  
Cosan Ltd.  
Cosan SA  
GlaxoSmithKline Plc  
Hyundai Motor Co., Ltd.  
Industrial & Commercial Bank of China Ltd.  
Jindal Steel & Power Ltd.  
Keppel Corp. Ltd.  
Korea Electric Power Corp.  
Norsk Hydro ASA  
Ratch Group Public Co. Ltd.



SBM Offshore NV  
SNC-Lavalin Group, Inc.  
Telefonaktiebolaget LM Ericsson  
The Blackstone Group, Inc.  
ThyssenKrupp AG

**Engagements initiated in 2017**

Agricultural Bank of China  
AirAsia Group Bhd.  
AirAsia X Bhd.  
Aveo Group Ltd.  
Braskem SA  
British American Tobacco plc  
Exxon Mobil Corp.  
Frasers Group Plc  
Honda Motor Co., Ltd.  
Indiabulls Housing Finance Ltd.  
International Flavors & Fragrances, Inc.  
IOI Corp. Bhd.  
JPMorgan Chase & Co.  
Olam International Ltd.  
Philip Morris International, Inc.  
PTT Exploration & Production Plc  
PTT Public Co., Ltd.  
Redflex Holdings Ltd.  
Rolls-Royce Plc  
San Leon Energy Plc  
Siemens AG

Teva Pharmaceutical Industries Ltd.

**Engagements initiated in 2016**


Bank of Baroda  
Barrick Gold Corp.  
CEMEX SAB de CV  
Embraer SA  
India Cements Ltd.  
Kotak Mahindra Bank Ltd.  
OAS SA  
POSCO  
PT Sentul City Tbk  
Sun Hung Kai Properties Ltd.  
TKJP Corp.




**Engagements initiated in 2015**


Atea ASA  
CH. Karnchang Public Co. Ltd.  
Duke Energy Corp.  
Goldcorp, Inc.  
HAGL JSC  
Lumber Liquidators Holdings, Inc.  
Melisron Ltd.  
Oil & Natural Gas Corp. Ltd.  
Saipem SpA


**Engagements initiated in 2014**


FLIR Systems, Inc.


AbbVie, Inc.		ISIN US00287Y1091
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q1 2019
THEME Bribery		LOCATION United States
MOTIVATION FOR CLOSING ENGAGEMENT The assessment has been revised to Green as of 8 January 2020. Considering that the lawsuits have been dismissed, ISS ESG Norm-Based Research deems the company to no longer be involved in the alleged misconduct. As a result, engagement with the company on the topic is satisfactorily completed.		


Accenture Plc		ISIN IE00B4BNMY34
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages, SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q2 2020
THEME Working conditions: Workplace health and safety		LOCATION United States
MOTIVATION FOR CLOSING ENGAGEMENT In its 20 May 2020 response to investors, Accenture Plc referred investors to the information it had previously provided on 7 February to ISS ESG's Norm-Based Research team. The company declined to comment further as the enquiry concerned client-specific matters. This engagement was discontinued owing to Accenture's unwillingness to participate.		
Agricultural Bank of China		ISIN CNE100000Q43
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.4: Reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime	QUARTER Q2 2017
THEME Accounting fraud, Money laundering		LOCATION United States
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 24 February 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent money laundering in the United States. As a result, engagement on the topic has been closed.		
AirAsia Group Bhd.		ISIN MYL509900006
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q3 2017
THEME Bribery		LOCATION Malaysia
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 29 January 2020, as ISS ESG considered AirAsia Group to no longer be involved in bribery in Malaysia. As a result, engagement on the topic has been closed.		


AirAsia X Bhd.		ISIN MYL523800000
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q3 2017
THEME Bribery		LOCATION Malaysia
MOTIVATION FOR CLOSING ENGAGEMENT The assessment has been revised to Green on 29 January 2020. Considering the time that has elapsed since the alleged misconduct and that no new allegations have surfaced against the companies, ISS ESG considers AirAsia X to no longer be involved in bribery in Malaysia. As a result, engagement with the company on the topic is satisfactorily completed.		


Airbus SE		ISIN NL0000235190
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q1 2018
THEME Bribery		LOCATION Indonesia
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 25 March 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent bribery in Indonesia. As a result, engagement on the topic has been closed.		


ALROSA PJSC		ISIN RU0007252813
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q2 2019
THEME Workplace health and safety		LOCATION Russia
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 22 June 2020, as ISS ESG assessed that the company had initiated credible measures to address previous allegations that it was failing to respect its workers right to safe and healthy working conditions in Russia. As a result, engagement on the topic has been closed.		


<b>Anglo American Plc</b>		ISIN GB00B1XZS820
	<p><b>SDG ALIGNMENT</b> SDG 6: Clean Water and Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials</p> <p>SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes</p>	QUARTER Q3 2018
THEMES Water pollution		LOCATIONS Brazil
<p><b>MOTIVATION FOR CLOSING ENGAGEMENT</b> The Norm-Based Research Amber assessment was revised to Green on 26 February 2020, as ISS ESG assessed that the company is taking credible measures to remediate the impact of two separate pipeline leaks that had occurred in March 2018. As a result, engagement on the topic has been closed.</p>		


<b>Atea ASA</b>		ISIN NO0004822503
	<p><b>SDG ALIGNMENT</b> SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms</p>	QUARTER Q4 2015
THEME Bribery		LOCATION Denmark
<p><b>MOTIVATION FOR CLOSING ENGAGEMENT</b> The Norm-Based Research assessment was revised to Green on 27 May 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent bribery in Denmark. As a result, engagement on the topic has been closed.</p>		


<b>AUDI AG</b>		ISIN DE0006757008
	<p><b>SDG ALIGNMENT</b> SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes</p>	QUARTER Q3 2019
THEME Environmental impacts: Air pollution		LOCATIONS United States
<p><b>MOTIVATION FOR CLOSING ENGAGEMENT</b> The Norm-Based Research assessment was revised to Green on 23 September 2020, as ISS ESG recognized that the company has successfully completed its U.S. Department of Justice-appointed monitorship that resulted from selling diesel motor vehicles with software designed to cheat emissions tests. As a result, engagement on the topic has been closed.</p>		


Aveo Group Ltd.		ISIN AU000000AOG1
	SDG ALIGNMENT N/A	QUARTER Q4 2017
THEME Consumer fraud and consumer health		LOCATION Australia
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 6 March 2020, as ISS ESG assessed that the company was no longer involved in the controversy given that there were no new reports of poor consumer protection practices for an extended length of time. As a result, engagement on the topic has been closed.		


BAE Systems Plc		ISIN GB0002634946
	SDG ALIGNMENT SDG 16: Peace, justice and strong institutions; 16.1: Reduce all forms of violence and related death rates everywhere	QUARTER Q2 2020
THEME Human rights due diligence, military / security supplies		LOCATION Yemen
MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG discontinued engagement on this topic owing to a poor outlook for attaining the engagement objectives, given BAE Systems' firmly held stance that ultimately governments decide about proceeding with military supply sales. Thus, the company will not be able to provide evidence that it has conducted human rights due diligence to mitigate the risk of complicity in human rights violations in Yemen.		


Bank of Baroda		ISIN INE028A01013
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.4: Reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime	QUARTER Q3 2016
THEME Money laundering		LOCATION India
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 1 April 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent money laundering in India. As a result, engagement on the topic has been closed.		


Barrick Gold Corp.		ISIN CA0679011084
	SDG ALIGNMENT SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes SDG 6: Clean Water and Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials	QUARTER Q3 2016
THEME Environmental impacts: Depletion of biodiversity, Pollution		LOCATION Chile
MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG has closed this engagement as the underlying controversy has been upgraded from Amber, Score 8 (Alleged failure) to Green, Score 5 (Under observation). This upgrade occurred because Barrick Gold Corp.'s subsidiary closed the Pascua Lama gold mine on the orders of the Chilean Superintendency of Environment over the company's alleged failure to prevent and remediate soil and water pollution. Given the now Green status of this controversy, there is no need for further engagement at this time.		


Bilfinger SE		ISIN DE0005909006
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q1 2018
THEME Bribery		LOCATION Brazil
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 27 May 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent bribery in Brazil. As a result, engagement on the topic has been closed.		


Biogen, Inc.		ISIN US09062X1037
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q1 2019
THEME Bribery		LOCATION United States
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 14 February 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent bribery in the United States. As a result, engagement on the topic has been closed.		


<b>Bombardier, Inc.</b>		ISIN CA0977512007
	<b>SDG ALIGNMENT</b> SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q4 2018
<b>THEME</b> Bribery		<b>LOCATION</b> Azerbaijan
<b>MOTIVATION FOR CLOSING ENGAGEMENT</b> The Norm-Based Research assessment was revised to Green on 14 July 2020, as ISS ESG considers this controversy to no longer be current, given the extended time that has elapsed since the alleged misconduct along with the confirmation of the company's enhancement measures. As a result, engagement on the topic has been closed.		

<b>Braskem SA</b>		ISIN US105532AD74
	<b>SDG ALIGNMENT</b> SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q2 2017
<b>THEME</b> Bribery		<b>LOCATION</b> Brazil
<b>MOTIVATION FOR CLOSING ENGAGEMENT</b> The Norm-Based Research assessment has been revised to Green as of 23 January 2020, as ISS ESG assesses the company to no longer be engaging in the corrupt practice. As a result, engagement with the company on the topic is satisfactorily completed.		


<b>British American Tobacco plc</b>		ISIN GB0002875804
	<b>SDG ALIGNMENT</b> SDG 3: Good Health and Wellbeing; 3.A: Implementation of the World Health Organization Framework Convention on Tobacco Control	QUARTER Q4 2017
<b>THEME</b> Consumer rights, Opposition to tobacco control, Right to health		<b>LOCATION</b> Burundi, Comores, Rwanda and Uganda
<b>MOTIVATION FOR CLOSING ENGAGEMENT</b> The Norm-Based Research assessment was revised to Green on 17 March 2020, as ISS ESG assessed that there have been no reports of further tobacco lobbying activities by the company in Burundi, Comoros, Rwanda and Uganda. As a result, engagement on the topic has been closed.		


Cal-Comp Electronics (Thailand) Public Co., Ltd.		ISIN TH0639010R13
	<p><b>SDG ALIGNMENT</b></p> <p>SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour</p> <p>SDG 10: Reduced Inequalities; 10.7: Facilitate orderly, safe, regular and responsible migration</p>	<p>QUARTER</p> <p>Q4 2019</p>
<p><b>THEME</b></p> <p>Working conditions: Forced labour, Freedom of expression, Modern slavery</p>		<p><b>LOCATIONS</b></p> <p>Thailand</p>
<p><b>MOTIVATION FOR CLOSING ENGAGEMENT</b></p> <p>The Norm-Based Research assessment was revised to Green on 12 June 2020, as ISS ESG assessed that the company had initiated credible measures to address previous allegations that migrant workers were forced to pay recruitment fees and exposed to the associated risk of debt bondage. As a result, engagement on the topic has been closed.</p>		


Cameco Corp.		ISIN CA13321L1085
	<p><b>SDG ALIGNMENT</b></p> <p>SDG 17: Partnerships for the Goals; 17.1: Strengthen domestic resource mobilization</p>	<p>QUARTER</p> <p>Q3 2020</p>
<p><b>THEME</b></p> <p>Taxation</p>		<p><b>LOCATION</b></p> <p>Canada</p>
<p><b>MOTIVATION FOR CLOSING ENGAGEMENT</b></p> <p>On 2 September 2020, the assessment signal of this controversy was changed to Green with a score of 5 (under observation), taking note of a June 2020 ruling by Canada's Federal Court of Appeal that is favorable to the company and the time elapsed since the disputed tax payments not covered by this ruling. Given the resolution of this issue, this engagement is closed as no further dialogue is warranted.</p>		

Cargill, Inc.		ISIN US141781AX24
	<p><b>SDG ALIGNMENT</b></p> <p>SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour</p>	<p>QUARTER</p> <p>Q4 2019</p>
<p><b>THEMES</b></p> <p>Forced labour, Modern slavery</p>		<p><b>LOCATION</b></p> <p>Uzbekistan</p>
<p><b>MOTIVATION FOR CLOSING ENGAGEMENT</b></p> <p>The Norm-Based Research assessment was revised to Green on 13 March 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent forced labour in the supply chain in Uzbekistan. As a result, engagement on the topic has been closed.</p>		



CEMEX SAB de CV		ISIN MXP225611567
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.3: Promote the rule of law and ensure equal access to justice for all	QUARTER Q4 2016
THEME Self-determination		LOCATION Disputed Territories (Occupied Palestinian Territories)
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 04 March 2020, as ISS ESG assessed that the company was no longer involved with failure to respect the right to self determination in the Occupied Palestinian Territories. As a result, engagement on the topic has been closed.		

CH. Karnchang Public Co. Ltd.		ISIN TH0530010R14
	SDG ALIGNMENT SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species	QUARTER Q4 2015
THEME Environmental impacts: Depletion of biodiversity, Living standards		LOCATION Laos
MOTIVATION FOR CLOSING ENGAGEMENT As the Xayaburi dam plant is now operational, CH. Karnchang Public Co. Ltd.'s capacity to wield its limited direct control over the operating consortium to influence the project is now considered negligible, and ISS ESG deems the company's involvement in the controversy to be beyond scope. As a result, engagement on the topic has been closed.		

Chevron Corp.		ISIN US1667641005
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q1 2020
THEME Anti-competitive behavior; Union rights		LOCATION South Korea and Bangladesh
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment regarding corruption was revised to Green on 04 December 2020, as ISS ESG assessed that the company was no longer involved with failure to prevent anti-competitive behaviour in South Korea. As a result, engagement on this topic has been closed. Additionally, the Norm-Based Research assessment regarding union rights was revised to Green on 26 February 2020, as ISS ESG		

assessed that the company was no longer involved with failing to respect union rights in Bangladesh. As a result, engagement on this second topic was also closed.

**China Petroleum & Chemical Corp.**

ISIN  
CNE1000002Q2



SDG ALIGNMENT

SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms

QUARTER  
Q2 2019

THEME  
Bribery

LOCATION  
China

MOTIVATION FOR CLOSING ENGAGEMENT

The assessment was revised to Green as of 20 January 2020. Considering the extended timeframe since the incident occurred and no renewed allegations have emerged after 2013, ISS ESG assesses that the company is no longer involved in bribery in China. As a result, engagement with the company on the topic is satisfactorily completed.

**Corporación Financiera Colombiana SA**

ISIN  
COJ12PA00048



SDG ALIGNMENT

SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms

QUARTER  
Q4 2018

THEME  
Bribery

LOCATION  
Colombia

MOTIVATION FOR CLOSING ENGAGEMENT

ISS ESG has closed this engagement as the underlying controversy has been upgraded to Green. This upgrade occurred because of the extended time that has elapsed since the misconduct in addition to the company's implemented remedial measures. Thus, ISS ESG considers the controversy to no longer be current.

**Cosan Logística SA**

ISIN  
BRRLOGACNOR4



SDG ALIGNMENT

SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers

QUARTER  
Q4 2018


THEME  
Working conditions: Forced labour


LOCATION  
Brazil


MOTIVATION FOR CLOSING ENGAGEMENT

The company has remediated the situation and there have been no renewed allegations of the company's involvement in an ongoing failure to respect the right to just and favourable conditions of work in Brazil


since 2016. Thus, ISS ESG assesses that the controversy is no longer current and no further engagement is needed.


Cosan Ltd.		ISIN BMG253431073
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q4 2018
THEME Workplace discrimination: Gender discrimination, Workplace health and safety		LOCATION Brazil
MOTIVATION FOR CLOSING ENGAGEMENT The company has provided several assurances to ISS ESG and investors of measures taken to address the occupational health and safety (OHS) risks of its sugarcane operations, and no credible allegations of the joint venture's involvement in an ongoing OHS failure in Brazil have emerged since 2016. Thus, ISS ESG assesses that the controversy is no longer current and no further engagement is needed.		


Cosan SA		ISIN BRCSANACNOR6
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q4 2018
THEME Workplace discrimination: Gender discrimination, Workplace health and safety		LOCATION Brazil
MOTIVATION FOR CLOSING ENGAGEMENT The company has provided several assurances to ISS ESG and investors of measures taken to address the occupational health and safety (OHS) risks of its sugarcane operations, and no credible allegations of the joint venture's involvement in an ongoing OHS failure in Brazil have emerged since 2016. Thus, ISS ESG assesses that the controversy is no longer current and no further engagement is needed.		

Dassault Aviation SA		ISIN FR0000121725
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.1: Reduce all forms of violence and related death rates everywhere	QUARTER Q2 2020
THEMES Human rights due diligence, Military / security supplies		LOCATIONS Yemen
MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG has discontinued this engagement owing to a poor outlook for attaining the engagement objectives as the company maintains an unsustainable status quo toward undertaking human rights due diligence in line with the United Nations Guiding Principles on Business and Human Rights in regard to its		


provision of military equipment and services to countries within a Saudi-led coalition accused of violating international humanitarian law in Yemen.


Deutsche Bank AG		ISIN DE0003933511
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.4: Reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime	QUARTER Q2 2019
THEME Money laundering		LOCATION British Virgin Islands
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 3 February 2020, as ISS ESG assessed that Deutsche Bank is no longer involved in the money laundering controversy pertaining to the British Virgin Islands. As a result, engagement on the topic has been closed.		

Duke Energy Corp.		ISIN US26441C1053
	SDG ALIGNMENT SDG 13: Climate Action; 13.3: Improve education, awareness-raising and human and institutional capacity on climate change	QUARTER Q3 2015
THEME Climate change impacts		LOCATIONS United States
MOTIVATION FOR CLOSING ENGAGEMENT A monitor has verified that the company has fulfilled all of the requirements from its settlement with the United States Department of Justice related to the 2014 Dan River spill. In addition, Duke Energy has agreed to close all of its nine coal ash impoundments in North Carolina by 2038. As a result, further engagement on this topic is assessed to be no longer required.		




Electricity Generating Public Co., Ltd.		ISIN TH0465010005
	SDG ALIGNMENT SDG 1: No Poverty; 1.4: Equal rights to economic resources, and access to basic services SDG 2: Zero Hunger; 2.1: End hunger and ensure access by all people to safe, nutritious and sufficient food SDG 15: Life on Land; 15.1: Ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands, SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species	QUARTER Q2 2020

	SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels	
THEME	Environmental impacts: Depletion of biodiversity; Living standards, Stakeholder consultation	LOCATION Laos
MOTIVATION FOR CLOSING ENGAGEMENT Engagement on these controversies is discontinued, owing to a poor outlook for attaining the engagement objectives since the company is unwilling to share documentation and other detailed information on the environmental and social measures implemented at Xayaburi dam in Laos.		


Embraer SA		ISIN BREMBRACNOR4
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q4 2016
THEME	Bribery	LOCATION Dominican Republic
MOTIVATION FOR CLOSING ENGAGEMENT The assessment has been revised to Green as of 8 January 2020, as ISS ESG assesses the company's remedial measures to be credible. As a result, engagement with the company on the topic is satisfactorily completed.		


Eni SpA		ISIN IT0003132476
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q2 2019
THEME	Bribery	LOCATION Nigeria and Algeria
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessments for alleged failure to prevent bribery in Nigeria and Algeria, respectively, have been revised to Green, as ISS ESG assessed that the company is no longer involved in the failure to prevent bribery in both of those countries. As a result, engagement on the topic has been closed.		


EXOR NV		ISIN NL0012059018
	SDG ALIGNMENT SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning	QUARTER Q4 2020

THEME Opposition to climate change mitigation		LOCATION United States
MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG is discontinuing this engagement owing to a poor outlook for attaining the engagement objectives, owing to Exor NV's stance of deferring to its controlled entity Fiat Chrysler Automobiles NV (FCA) on this matter.		
Exxon Mobil Corp.		ISIN US30231G1022
	SDG ALIGNMENT SDG 14: Life Below Water; 14.2: Sustainably manage and protect marine and coastal ecosystems	QUARTER Q3 2017
THEME Environmental impacts: Depletion of biodiversity		LOCATION Russia
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 29 Jan 2020, as ISS ESG assessed that the company had implemented credible remediation actions. As a result, engagement on the topic has been closed.		
Facebook, Inc.		ISIN US30303M1027
	SDG ALIGNMENT SDG 10: Reduced Inequalities; 10.3: Equal opportunities of outcome	QUARTER Q1 2020
THEME Racial discrimination, Religious affiliation discrimination		LOCATION Myanmar
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 04 April 2020, as ISS ESG assessed that Facebook had undertaken credible measures to address its involvement in the failure to prevent social discrimination in Myanmar. As a result, engagement on the topic has been closed.		
Fiat Chrysler Automobiles NV		ISIN NL0010877643
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q2 2020
THEME Bribery		LOCATION United States
MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG has closed this engagement as the underlying controversy has been upgraded to Green. This change occurred because of governance, auditing, and structural reforms implemented by Fiat Chrysler		

Automobiles NV (FCA) to improve accountability and transparency. Given the now Green status of this controversy, there is no need for further engagement at this time.

FLIR Systems, Inc.		ISIN US3024451011
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.3: Promote the rule of law and ensure equal access to justice for all	QUARTER Q4 2014
THEME Self-determination		LOCATION Disputed Territories (Occupied Palestinian Territories)
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 6 April 2020, as ISS ESG assessed that the company was no longer complicit in the failure to respect the right to self-determination in territories under the disputed occupation by Israel. As a result, engagement on the topic has been closed.		

Frasers Group Plc		ISIN GB00B1QH8P22
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.5: Achieve full and productive employment and decent work for all women and men SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers SDG 10: Reduced Inequalities; 10.1: Achieve and sustain income growth	QUARTER Q4 2017
THEME Working conditions: Living wage, Workplace health and safety		LOCATION United Kingdom
MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG has closed this engagement as the underlying controversy has been upgraded to Green because Frasers Group Plc has initiated measures to remediate the findings by a United Kingdom Parliament Committee, which concluded that the company exposed workers at its Shirebrook warehouse to poor labour standards in 2016.		

General Dynamics Corp.		ISIN US3695501086
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.1: Reduce all forms of violence and related death rates everywhere	QUARTER Q2 2020
THEME Human rights due diligence, Military / security supplies		LOCATIONS Yemen

MOTIVATION FOR CLOSING ENGAGEMENT

ISS ESG has discontinued this engagement owing to a poor outlook for attaining the engagement objectives as the company maintains an unsustainable status quo and has failed to respond to investors' enquiries.

General Motors Co.

ISIN  
US37045V1008



SDG ALIGNMENT

SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes

QUARTER  
Q4 2020

THEME

Air pollution, Climate change impacts

LOCATION

United States

MOTIVATION FOR CLOSING ENGAGEMENT

The Norm-Based Research assessment was revised to Green on 16 December 2020, as ISS ESG assessed that the company was no longer a member of the industry group Coalition for Sustainable Automotive Regulation, which is participating in legal proceedings that support a rollback of fuel-efficiency standards in the United States (U.S.) aimed at mitigating climate change. As a result, engagement on the topic has been closed.

GlaxoSmithKline Plc

ISIN  
GB0009252882



SDG ALIGNMENT

SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms

QUARTER  
Q1 2018

THEMES

Bribery

LOCATION

China

MOTIVATION FOR CLOSING ENGAGEMENT

The Norm-Based Research assessment was revised to Green on 18 February 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent bribery in China. As a result, engagement on the topic has been closed.

Global Power Synergy PCL

ISIN  
TH6488010005



SDG ALIGNMENT


SDG 1: No Poverty; 1.4: Equal rights to economic resources, and access to basic services  
SDG 2: Zero Hunger; 2.1: End hunger and ensure access by all people to safe, nutritious and sufficient food  
SDG 15: Life on Land; 15.1: Ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands,


QUARTER  
Q2 2020




	<p>SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species</p> <p>SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels</p>	
THEME	Environmental impacts: Depletion of biodiversity; Living standards, Stakeholder consultation	LOCATION Laos
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG discontinued this engagement on 10 September 2020, owing to a poor outlook for attaining the engagement objectives due to the company's lack of openness to dialogue.</p>		

Goldcorp, Inc.		ISIN US380956AE20
	<p>SDG ALIGNMENT</p> <p>SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage</p>	QUARTER Q3 2015
THEME	Indigenous rights, Living standards, Right to water, Stakeholder consultation, Environmental impacts	LOCATION Guatemala
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>The Norm-Based Research assessment was revised to Green on 10 March 2020, as ISS ESG assessed that no new allegations related to indigenous rights have been raised since 2017 and that the company has provided credible information on its efforts to implement mitigation measures. As a result, engagement on the topic has been closed.</p>		

Golden Agri-Resources Ltd.		ISIN MU0117U00026
	<p>SDG ALIGNMENT</p> <p>SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms</p>	QUARTER Q2 2019
THEME	Bribery	LOCATION Indonesia
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>The Norm-Based Research assessment was revised to Green on 23 January 2020, as the company confirmed to investors that it is no longer under investigation, has dismissed the employee involved in the incident, and has introduced targeted remedial measures. ISS ESG assessed that there are no grounds for further engagement on the topic with the company.</p>		

GS Holdings Corp.		ISIN KR7078930005
	SDG ALIGNMENT N/A	QUARTER Q1 2020
THEMES Anti-competitive behaviour		LOCATIONS South Korea
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 4 December 2020, as ISS ESG assessed that the company has taken credible steps to address anti-competitive practices violations. As a result, engagement on the topic has been closed.		

HAGL JSC		ISIN VN000000HAG6
	SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.3: Inclusive and sustainable urbanization SDG 15: Life on Land; 15.2: Sustainable management of all types of forests SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species	QUARTER Q1 2015
THEME Depletion of biodiversity, Deforestation, Indigenous rights, Living standards, Stakeholder consultation		LOCATION Laos
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessments regarding human rights and the environment were both revised to Green on 12 March 2020, as ISS ESG assessed that the controversies were no longer current. As a result, engagement on these topics has been closed.		

Honda Motor Co., Ltd.		ISIN JP3854600008
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q4 2017
THEME Union rights		LOCATIONS Mexico
MOTIVATION FOR CLOSING ENGAGEMENT The assessment signal of this controversy was upgraded to Green, since as of July 2020 no further allegations have been raised by the union regarding failure to respect union rights by Honda Motor Co., Ltd.'s subsidiary in Mexico. As such, this engagement is closed as the issue is considered resolved.		


Hyundai Heavy Industries Holdings Co., Ltd.		ISIN KR7267250009
	SDG ALIGNMENT N/A	QUARTER Q1 2020
THEME Anti-competitive behaviour		LOCATION South Korea
MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG has closed this engagement as the underlying controversy was upgraded to Green under the Norm-Based Research assessment. This change occurred because of remedial measures taken by the company along with the lack of renewed allegations since 2016.		

Hyundai Motor Co., Ltd.		ISIN KR7005380001
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q2 2018
THEME Working conditions		LOCATION South Korea
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 1 April 2020, as ISS ESG assessed that Hyundai Motor was undertaking measures to make regular the employment situation of its several thousand workers found to be in a situation of “illegal dispatch” in South Korea. As a result, engagement on the topic has been closed.		

ICICI Bank Ltd.		ISIN XS1115200468
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q4 2019
THEME Bribery		LOCATION India
MOTIVATION FOR CLOSING ENGAGEMENT On 1 September 2020, the Norm-Based Research assessment signal of this controversy was upgraded to Green, taking note of the extended time that has elapsed since the alleged misconduct in India occurred. As a result, engagement on the topic has been closed.		

India Cements Ltd.		ISIN INE383A01012
	SDG ALIGNMENT	QUARTER Q3 2016


	SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	
THEME Bribery		LOCATION India
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>No new and credible allegations have been made against India Cements Ltd. since the company was first accused by the Indian Central Bureau of Investigation (CBI) in June 2012 of having made improper payments worth INR 1.4 billion between 2007 and 2008 to obtain favours from the state government of Andhra Pradesh in India. Given the extended time that has elapsed since the misconduct occurred in addition to the lack of renewed allegations, ISS ESG assesses that the controversy is no longer current and has closed the engagement.</p>		


Indiabulls Housing Finance Ltd.		ISIN INE148I01020
	SDG ALIGNMENT SDG 17: Partnerships for the Goals; 17.1: Strengthen domestic resource mobilization	QUARTER Q4 2017
THEME Taxation		LOCATION India
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>The Norm-Based Research assessment was revised to Green on 21 February 2020, as ISS ESG assessed that the company was no longer involved in the failure to pay fair share of taxes in India. As a result, engagement on the topic has been closed.</p>		


Indivior PLC		ISIN GB00BRS65X63
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages	QUARTER Q3 2019
THEME Consumer health, Consumer rights		LOCATION United States
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>On 8 September 2020, the assessment signal of this controversy was changed to Green, taking note of remedial measures initiated by Indivior PLC to address complaints and lawsuits in relation to the opioid addiction treatment drug Suboxone Film. While ISS ESG remains vigilant of developments, we have closed this engagement as no further dialogue is currently warranted.</p>		

Industrial & Commercial Bank of China Ltd.		ISIN CNE000001P37
	SDG ALIGNMENT	QUARTER


	SDG 16: Peace, justice and Strong Institutions; 16.4: Reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime	Q3 2018
<b>THEME</b> Money laundering		<b>LOCATION</b> Spain
<b>MOTIVATION FOR CLOSING ENGAGEMENT</b> The Norm-Based Research assessment was revised to Green on 17 June 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent money laundering in Spain. As a result, engagement on the topic has been closed.		

<b>ING Groep NV</b>		<b>ISIN</b> US456837AC74
	<b>SDG ALIGNMENT</b> SDG 16: Peace, justice and Strong Institutions; 16.4: Reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime	<b>QUARTER</b> Q3 2019
<b>THEME</b> Money laundering		<b>LOCATION</b> Netherlands
<b>MOTIVATION FOR CLOSING ENGAGEMENT</b> ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded to Green, as ISS ESG assessed the bank's remedial efforts to be credible.		




<b>International Flavors &amp; Fragrances, Inc.</b>		<b>ISIN</b> US4595061015
	<b>SDG ALIGNMENT</b> SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	<b>QUARTER</b> Q2 2017
<b>THEME</b> Union rights, Working conditions		<b>LOCATIONS</b> Turkey
<b>MOTIVATION FOR CLOSING ENGAGEMENT</b> ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded to Green, as the controversy was assessed to no longer be current.		


<b>IOI Corp. Bhd.</b>		<b>ISIN</b> MYL19610O001
	<b>SDG ALIGNMENT</b> SDG 11: Sustainable Cities and Communities; 11.4: Protect and safeguard the world's cultural and natural heritage	<b>QUARTER</b> Q4 2017


SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels		
THEME	Indigenous rights, Living standards, Stakeholder consultation	LOCATION Malaysia
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 31 March 2020, as ISS ESG assessed that IOI Corp. Bhd. was undertaking credible measures to address its involvement in the controversy. A key credible measure is the company's work with the NGO Grassroots to create a Draft Resolution Plan to resolve the dispute; all nine communities involved in the dispute consented to this resolution plan. As a result of this upgrade to Green, engagement on the topic has been closed.		


Jindal Steel & Power Ltd.		ISIN INE749A01030
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q3 2018
THEMES	Bribery	LOCATION India
MOTIVATION FOR CLOSING ENGAGEMENT No new and relevant allegations have been raised since Jindal Steel & Power Ltd. (JSPL) had been accused by India's Central Bureau of Investigation in 2015 of having been involved in the bribery of an Indian minister in order to skew competition and obtain coal mining rights in 2008. Considering the extended time that has elapsed since the alleged bribery controversy emerged, in addition to no renewed relevant allegations against JSPL for several years, ISS ESG assessed the controversy to no longer be current.		

Johnson & Johnson		ISIN US478160AN49
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q1 2020
THEME	Consumer fraud, Consumer health, Consumer rights; Bribery	LOCATION United States
MOTIVATION FOR CLOSING ENGAGEMENT In February 2020, Johnson & Johnson declined to participate in the engagement facilitated by ISS ESG. As this is the second time in the last five months that the company declined the opportunity to participate in the Pooled Engagement set-up, ISS ESG has discontinued the engagement.		


JPMorgan Chase & Co.		ISIN US46625H1005
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q4 2017
THEME Bribery		LOCATION Hong Kong
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based-Research assessment was revised to Green on 4 February 2020, as ISS ESG assessed that the bank is no longer involved in the failure to prevent bribery in Hong Kong. As a result, engagement on the topic has been closed.		
Keppel Corp. Ltd.		ISIN SG1U68934629
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q2 2018
THEME Bribery		LOCATION Brazil
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 20 March 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent bribery in Brazil. As a result, engagement on the topic has been closed.		
Kinpo Electronics, Inc.		ISIN TW0002312006
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour SDG 10: Reduced Inequalities; 10.7: Facilitate orderly, safe, regular and responsible migration	QUARTER Q4 2019
THEME Working conditions: Forced labour, Freedom of expression, Modern slavery		LOCATION Thailand
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 12 June 2020, as ISS ESG assessed that the company had initiated credible measures to address previous allegations that migrant workers were forced to pay recruitment fees and exposed to the associated risk of debt bondage. As a result, engagement on the topic has been closed.		


Korea Electric Power Corp.		ISIN KR7015760002
	SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.1: Access for all to adequate, safe and affordable housing	QUARTER Q4 2018
THEME Living standards, Right to life, Stakeholder consultation		LOCATION Cambodia
MOTIVATION FOR CLOSING ENGAGEMENT Most of the irremediable impacts of the accident at the Xe-Pian Xe-Namnoy dam have been observed in Laos, and there has been a lack of significant developments or renewed and detailed allegations with regard to Cambodia. Therefore, ISS ESG closed this engagement on the Cambodia impacts of this dam incident.		


Kotak Mahindra Bank Ltd.		ISIN INE237A01028
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.4: Reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime	QUARTER Q3 2016
THEME Money laundering		LOCATION India
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 16 April 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent money laundering in India. As a result, engagement on the topic has been closed.		


Lumber Liquidators Holdings, Inc.		ISIN US55003Q1031
	SDG ALIGNMENT SDG 15: Life on Land; 15.2: Sustainable management of all types of forests SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species	QUARTER Q1 2015
THEME Depletion of biodiversity, Deforestation		LOCATION Russia
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 12 February 2020, as ISS ESG assessed that Lumber Liquidators Holdings, Inc. was undertaking credible measures to address its involvement in the controversy. As a result, engagement on the topic has been closed.		





<b>Mallinckrodt Plc</b>		ISIN IE00BBGT3753
	<b>SDG ALIGNMENT</b> SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q1 2020
<b>THEME</b> Bribery		<b>LOCATION</b> United States
<b>MOTIVATION FOR CLOSING ENGAGEMENT</b> The Norm-Based Research assessment was revised to Green on 14 April 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent bribery in the United States. As a result, engagement on the topic has been closed.		


<b>Melisron Ltd.</b>		ISIN IL0003230146
	<b>SDG ALIGNMENT</b> SDG 16: Peace, justice and Strong Institutions; 16.3: Promote the rule of law and ensure equal access to justice for all	QUARTER Q3 2015
<b>THEMES</b> Self-determination		<b>LOCATIONS</b> Disputed Territories (Occupied Palestinian Territories)
<b>MOTIVATION FOR CLOSING ENGAGEMENT</b> The Norm-Based Research assessment was revised to Green on 3 July 2020, as ISS ESG assessed that there was no new and credible information since January 2017 alleging that Melisron Ltd. is inherently complicit in the failure to respect the right to self-determination in territories under the disputed occupation by Israel. As a result, engagement on the topic was closed.		


<b>National Australia Bank Ltd.</b>		ISIN AU000000NAB4
	<b>SDG ALIGNMENT</b> SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q1 2020
<b>THEME</b> Bribery		<b>LOCATION</b> Australia
<b>MOTIVATION FOR CLOSING ENGAGEMENT</b> ISS ESG has closed this engagement as the underlying Norm-Based Research assessment was upgraded to Green, as the company stated that it responded immediately, investigated, and reported to the police the allegations raised by a whistleblower. Also, the company stated that it is a victim of fraud and stated that its employees are not being investigated or have been suggested of wrongdoing by the police.		


Nissan Motor Co., Ltd.		ISIN JP3672400003
	SDG ALIGNMENT SDG 13: Climate Action; 13.2: Integrate climate change measures into national policies, strategies and planning	QUARTER Q4 2020
THEME Opposition to climate change mitigation		LOCATIONS United States
MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG has closed this engagement as the underlying controversy has been upgraded to Green. This upgrade occurred because a December 2020 signed court document confirmed that Nissan Motor Co., Ltd. is no longer a member of the industry group Alliance for Automotive Innovation, which is participating in legal proceedings that support a rollback of fuel-efficiency standards in the United States aimed at mitigating climate change. Considering that Nissan Motor left the industry group, ISS ESG deems the company to no longer be involved in the controversy.		


Norsk Hydro ASA		ISIN NO0005052605
	SDG ALIGNMENT SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes SDG 6: Clean Water and Sanitation; 6.3: Improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials	QUARTER Q3 2018
THEME Water pollution		LOCATION Brazil
MOTIVATION FOR CLOSING ENGAGEMENT The assessment has been revised to Green as of 23 October 2020, as the company is taking credible remediation measures. As a result, engagement with the company on the topic is satisfactorily completed.		

OAS SA		ISIN BRFDS075NJ20
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q3 2016
THEME Bribery		LOCATION Brazil
MOTIVATION FOR CLOSING ENGAGEMENT On 30 June 2020, the Norm-Based Research assessment was upgraded to Green, taking note of the company's enhancement measures as well as its cooperation with authorities. As such, this engagement is closed as no further dialogue on this topic is warranted.		


Oil & Natural Gas Corp. Ltd.		ISIN INE213A01029
	SDG ALIGNMENT SDG 14: Life Below Water; 14.2: Sustainably manage and protect marine and coastal ecosystems	QUARTER Q3 2015
THEME Environmental impacts: Depletion of biodiversity		LOCATION Russia
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on the 29 January 2020, as ISS ESG assessed that the company is no longer involved in the alleged failure to prevent depletion of biodiversity (whale) by Sakhalin-1 consortium in Russia. As a result, engagement on the topic has been closed.		




Olam International Ltd.		ISIN SG1Q75923504
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour	QUARTER Q3 2017
THEME Forced labour, Modern slavery		LOCATION Uzbekistan
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 13 March 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent forced labour in the supply chain in Uzbekistan. As a result, engagement on the topic has been closed.		

Petróleo Brasileiro SA		ISIN BRPETRACNOR9
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.4: Reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime	QUARTER Q4 2019
THEME Bribery		LOCATION Brazil
MOTIVATION FOR CLOSING ENGAGEMENT Petróleo Brasileiro SA (Petrobras) has demonstrated its willingness to engage and share information on its enhancement measures and the progress made to address longstanding allegations that it was involved in incidences of bribery. ISS ESG has assessed that the goals for engagement were successfully met and that there are no grounds for further engagement.		


Philip Morris International, Inc.		ISIN US7181721090
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; 3.A: Implementation of the World Health Organization Framework Convention on Tobacco Control	QUARTER Q4 2017
THEME Right to health: Opposition to tobacco control		LOCATION Australia, Ethiopia, India, Israel, Japan, Sweden, Togo, Uganda and Vietnam
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 18 March 2020, as ISS ESG assessed that the company was no longer involved in the controversy given that the allegations did not lead to any reports of formal investigation and there were no further allegations of related opposition to tobacco control activities against the company specifically in Australia, Ethiopia, India, Israel, Japan, Sweden, Togo, Uganda, and Vietnam. As a result, engagement on the topic has been closed.		


Porsche Automobil Holding SE		ISIN DE000PAH0038
	SDG ALIGNMENT SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes	QUARTER Q3 2019
THEME Environmental impacts: Air pollution		LOCATION United States
MOTIVATION FOR CLOSING ENGAGEMENT While the company failed to respond to investor outreach, the engagement was closed on 24 September 2020 as ISS ESG assessed that the company had successfully completed its U.S. Department of Justice-appointed monitorship that resulted from the company equipping cars with software designed to cheat emissions tests, and thus the Norm-Based Research assessment was revised to Green.		

POSCO		ISIN US6934831099
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q1 2016
THEME Bribery		LOCATION South Korea
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 16 January 2020. While the company's involvement in the bribery scheme orchestrated by the former South Korean President is considered to be past, ISS ESG remains vigilant of the developments concerning the January 2020 corruption investigation. As a result, engagement with the company on the topic is satisfactorily completed.		


PT Sawit Sumbermas Sarana Tbk		ISIN ID1000130008
	<p><b>SDG ALIGNMENT</b> SDG 15: Life on Land; 15.2: Sustainable management of all types of forests</p> <p>SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species</p>	QUARTER Q4 2019
THEME Depletion of biodiversity, Climate change impacts, Deforestation		LOCATIONS Indonesia
<p><b>MOTIVATION FOR CLOSING ENGAGEMENT</b> On 1 September 2020, the Norm-Based Research assessment signal of this controversy was changed to Green, taking note that no new allegations have recently arisen. While ISS ESG remains vigilant of developments, we have closed this engagement as no further dialogue is currently warranted.</p>		
PT Semen Indonesia (Persero) Tbk		ISIN ID1000106800
	<p><b>SDG ALIGNMENT</b> SDG 1: No Poverty; 1.4: Equal rights to economic resources, and access to basic services</p> <p>SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels</p>	QUARTER Q4 2019
THEME Human rights due diligence, Living standards, Stakeholder consultation		LOCATION Indonesia
<p><b>MOTIVATION FOR CLOSING ENGAGEMENT</b> The Norm-Based Research assessment was revised to Green on 14 April 2020, as ISS ESG assessed that the company has resolved the issue of alleged poor stakeholder consultation and failure to respect adequate standard of living in Indonesia. As a result, engagement on the topic has been closed.</p>		
PT Sentul City Tbk		ISIN ID1000104201
	<p><b>SDG ALIGNMENT</b> SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms</p>	QUARTER Q1 2016
THEMES Bribery		LOCATION Indonesia
<p><b>MOTIVATION FOR CLOSING ENGAGEMENT</b> The Norm-Based Research assessment was revised to Green on 7 May 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent bribery in Indonesia. As a result, engagement on the topic has been closed.</p>		

PT Solusi Bangun Indonesia Tbk		ISIN ID1000072309
	<p><b>SDG ALIGNMENT</b> SDG 1: No Poverty; 1.4: Equal rights to economic resources, and access to basic services</p> <p>SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels</p>	QUARTER Q4 2019
THEME Human rights due diligence, Living standards, Stakeholder consultation		LOCATION Indonesia
<p><b>MOTIVATION FOR CLOSING ENGAGEMENT</b> PT Solusi Bangun Indonesia Tbk has been accused of poor stakeholder consultation and failure to respect the right to an adequate standard of living in Indonesia by several NGOs since 2011. While the dispute between Indonesian authorities and the stakeholders remains a concern, no new allegations have emerged against the company since 2017, and ISS ESG deems that engagement with the company is no longer necessary.</p>		

PTT Exploration & Production Plc		ISIN TH0355010R16
	<p><b>SDG ALIGNMENT</b> SDG 1: No Poverty; 1.4: Equal rights to economic resources, and access to basic services</p> <p>SDG 11: Sustainable Cities and Communities; 11.3: Inclusive and sustainable urbanization</p>	QUARTER Q3 2017
THEME Forced displacement, Human rights due diligence, Stakeholder consultation		LOCATION Thailand and Myanmar
<p><b>MOTIVATION FOR CLOSING ENGAGEMENT</b> The Norm-Based Research assessment regarding the company's alleged failure to remediate the impacts of forced displacement and poor stakeholder consultation at oil and gas operations in Myanmar was revised to Green on 12 February 2020, as ISS ESG assessed that the company was no longer involved in the controversy. As a result, engagement on the topic has been closed.</p> <p>Secondarily, the Norm-Based Research assessment regarding the company's alleged failure to prevent bribery in Thailand was also revised to Green on 12 February 2020, as ISS ESG assessed that the company was also no longer involved in the controversy. As a result, engagement on the topic has been closed.</p>		

PTT Public Co., Ltd.		ISIN TH0646010007
	<p><b>SDG ALIGNMENT</b> SDG 1: No Poverty; 1.4: Equal rights to economic resources, and access to basic services</p>	QUARTER Q3 2017

	<p>SDG 2: Zero Hunger; 2.1: End hunger and ensure access by all people to safe, nutritious and sufficient food</p> <p>SDG 11: Sustainable Cities and Communities; 11.3: Inclusive and sustainable urbanization</p> <p>SDG 15: Life on Land; 15.5: Protect and prevent the extinction of threatened species</p> <p>SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms</p>	
<p><b>THEME</b> Environmental impacts: Depletion of biodiversity; Stakeholder consultation, Forced displacement, Living standards; Bribery</p>	<p><b>LOCATION</b> Laos, Myanmar and Thailand</p>	
<p><b>MOTIVATION FOR CLOSING ENGAGEMENT</b></p> <p>As the Xayaburi dam plant is now operational, PTT Public Co., Ltd.'s capacity to wield its limited direct control over the operating consortium to influence the project is now considered negligible, and ISS ESG deems the company's involvement in the controversy to be beyond scope and the engagement related to environment and human rights in Laos has been closed.</p> <p>Additionally, no new allegations of failure to remediate the impacts of forced displacement and poor stakeholder consultation in Myanmar have emerged since 2016. Thus, ISS ESG assesses the company to no longer be involved in the controversy and the engagement has been closed.</p> <p>Lastly, the Norm-Based Research assessment on the alleged failure to prevent bribery in Thailand was revised to Green on 12 February 2020, as ISS ESG assessed that the company had implemented credible anti-corruption measures. As a result, engagement on the topic has been closed.</p>		

<p>Ratch Group Public Co. Ltd.</p>		<p><b>ISIN</b> TH0637010008</p>
	<p><b>SDG ALIGNMENT</b> SDG 11: Sustainable Cities and Communities; 11.1: Access for all to adequate, safe and affordable housing</p>	<p><b>QUARTER</b> Q4 2018</p>
<p><b>THEME</b> Living standards, Right to life, Stakeholder consultation</p>		<p><b>LOCATION</b> Cambodia</p>
<p><b>MOTIVATION FOR CLOSING ENGAGEMENT</b></p> <p>Most of the irremediable impacts of the accident have been observed in Laos, and there has been a lack of significant developments or renewed and detailed allegations with regard to Cambodia. Therefore, ISS ESG closed the engagement on the Cambodia impacts of this dam incident.</p>		

<p>Red Rock Resorts, Inc.</p>		<p><b>ISIN</b> US75700L1089</p>
	<p><b>SDG ALIGNMENT</b> SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers</p>	<p><b>QUARTER</b> Q3 2019</p>
<p><b>THEME</b> Union rights</p>		<p><b>LOCATION</b> United States</p>

MOTIVATION FOR CLOSING ENGAGEMENT

In April 2020, Red Rock Resorts, Inc. declined to participate in the engagement facilitated by ISS ESG and confirmed that it has no intention to engage on the ESG topics identified. As such, this engagement has been discontinued.

Redflex Holdings Ltd.

ISIN  
AU000000RDF0



SDG ALIGNMENT

SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms

QUARTER  
Q1 2017

THEME  
Bribery

LOCATION  
United States

MOTIVATION FOR CLOSING ENGAGEMENT

The Norm-Based Research assessment was revised to Green on 15 June 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent bribery in the United States. As a result, engagement on the topic has been closed.

Renault SA

ISIN  
FR0000131906



SDG ALIGNMENT

SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers

QUARTER  
Q3 2019

THEME  
Working conditions: Union rights

LOCATION  
Turkey

MOTIVATION FOR CLOSING ENGAGEMENT

The Norm-Based Research assessment for Renault SA was revised to Green on 28 February 2020, as ISS ESG assessed that the company had initiated adequate measures to address previous findings that it was failing to respect its workers' right to collective bargaining and freedom of association in Turkey. As a result, engagement on the topic has been closed.

Rheinmetall AG

ISIN  
DE0007030009



SDG ALIGNMENT

SDG 16: Peace, justice and Strong Institutions; 16.1: Reduce all forms of violence and related death rates everywhere

QUARTER  
Q2 2020

THEME  
Human rights due diligence, Military / security supplies


LOCATION  
Yemen


MOTIVATION FOR CLOSING ENGAGEMENT

ISS ESG discontinued this engagement owing to a poor outlook for attaining the engagement objectives as the company maintains an unsustainable status quo, as the company told investors that the German




government has decision-making authority over arms exports and that the company respects authorities' decisions. Still, the company stressed that the protection of human rights is an integral part of its social responsibility anchored in its policies and codes of conduct.


<b>Rolls-Royce Plc</b>		ISIN US77578JAA60
	<b>SDG ALIGNMENT</b> SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	<b>QUARTER</b> Q3 2017
<b>THEMES</b> Bribery	<b>LOCATIONS</b> Angola, Azerbaijan, Brazil, China, India, Indonesia, Iraq, Kazakhstan, Malaysia, Nigeria, Russia and Thailand	
<b>MOTIVATION FOR CLOSING ENGAGEMENT</b> The Norm-Based Research assessment was revised to Green on 21 April 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent bribery in Angola, Azerbaijan, Brazil, China, India, Indonesia, Iraq, Kazakhstan, Malaysia, Nigeria, Russia, and Thailand. As a result, engagement on the topic has been closed.		

<b>ROSSETI PJSC</b>		ISIN RU000A0JPVJ0
	<b>SDG ALIGNMENT</b> SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	<b>QUARTER</b> Q2 2019
<b>THEME</b> Bribery	<b>LOCATION</b> Russia	
<b>MOTIVATION FOR CLOSING ENGAGEMENT</b> The Norm-Based Research assessment was revised to Green on 5 June 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent bribery in Russia. As a result, engagement on the topic has been closed.		


<b>Royal Dutch Shell Plc</b>		ISIN GB00B03MM408
	<b>SDG ALIGNMENT</b> SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	<b>QUARTER</b> Q2 2017 and Q4 2019


	SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels	
<b>THEME</b>	Workplace health and safety, Bribery, Human rights due diligence, Living standards, Right to health, Stakeholder consultation	<b>LOCATIONS</b> Brazil and Nigeria
<b>MOTIVATION FOR CLOSING ENGAGEMENT</b>		
<p>Regarding the alleged failure to respect the right to safe and healthy working conditions in Brazil, the company provided several assurances to ISS ESG and investors of measures taken to address the occupational health and safety (OHS) risks of its sugarcane operations and no credible allegations have emerged since 2016. Therefore, ISS ESG assesses that the controversy is no longer current.</p> <p>In addition, the Norm-Based Research assessment regarding the alleged failure to prevent bribery in Nigeria was revised to Green on 11 February 2020, as ISS ESG assessed that the controversy was no longer valid. As a result, engagement on the topic has been closed.</p> <p>Finally, on March 24, 2020 the Norm-Based Research assessment related to alleged poor stakeholder consultation and failure to respect the right to adequate standard of living in Nigeria was upgraded to Green. As such, ISS ESG closed this engagement as further dialogue on this topic is not warranted.</p>		


<b>RWE AG</b>		<b>ISIN</b> XS0542298012
	<b>SDG ALIGNMENT</b> SDG 13: Climate Action; 13.3: Improve education, awareness-raising and human and institutional capacity on climate change SDG 15: Life on Land; 15.2: Sustainable management of all types of forests	<b>QUARTER</b> Q2 2020
<b>THEME</b>	Climate change impacts, Deforestation, Opposition to climate change mitigation	<b>LOCATION</b> Germany
<b>MOTIVATION FOR CLOSING ENGAGEMENT</b>		
ISS ESG closed this engagement as the company satisfied all conditions for revision to Green, and thus has successfully resolved the controversy. Furthermore, credible measures have been adopted for three of the four engagement targets.		


<b>Ryanair Holdings Plc</b>		<b>ISIN</b> US7835131043
	<b>SDG ALIGNMENT</b> SDG 8: Decent Work and Economic Growth; 8.5: Achieve full and productive employment and decent work for all women and men SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers SDG 10: Reduced Inequalities; 10.1: Achieve and sustain income growth	<b>QUARTER</b> Q1 2019
<b>THEME</b>	Working conditions: Union rights	<b>LOCATION</b> Netherlands
<b>MOTIVATION FOR CLOSING ENGAGEMENT</b>		


The Norm-Based Research assessment was revised to Green on 20 November 2020, as ISS ESG noted such developments as a Dutch court finding that the company had plausible economic grounds for closing its base in Eindhoven, the Netherlands. As a result, engagement on the topic has been closed.


Saipem SpA		ISIN IT0000068525
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q4 2015
THEME Bribery		LOCATION Algeria
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 4 February 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent bribery in Algeria. As a result, engagement on the topic has been closed.		

San Leon Energy Plc		ISIN IE00B3CLK236
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.3: Promote the rule of law and ensure equal access to justice for all	QUARTER Q3 2017
THEME Self-determination		LOCATION Disputed Territories (Western Sahara)
MOTIVATION FOR CLOSING ENGAGEMENT This engagement has been closed as the company confirmed to ISS ESG in June 2020 - through fact-finding dialogue - that it no longer holds interests or licenses in Western Sahara or Morocco.		


Saudi Arabian Oil Co.		ISIN SA14TG012N13
	SDG ALIGNMENT N/A	QUARTER Q1 2020
THEME Anti-competitive behaviour		LOCATION South Korea
MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG closed this engagement as the underlying Norm-Based Research assessment was upgraded to Green, as Saudi Arabian Oil Co.'s 63.41%-owned subsidiary S-Oil Corp., was assessed to have taken credible steps to address anti-competitive practices violations.		


SBM Offshore NV		ISIN NL0000360618
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q3 2018
THEME Bribery		LOCATION Angola, Brazil, Equatorial Guinea, Iraq and Kazakhstan
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 9 March 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent bribery in Angola, Brazil, Equatorial Guinea, Iraq, and Kazakhstan. As a result, engagement on the topic has been closed.		


Sibanye Gold Ltd.		ISIN US8257242060
	SDG ALIGNMENT SDG 1: No Poverty; 1.4: Equal rights to economic resources, and access to basic services SDG 16: Peace, justice and Strong Institutions; 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels	QUARTER Q4 2019
THEME Forced displacement, Living standards, Right to health, Right to water, Stakeholder consultation, Workplace health and safety		LOCATION South Africa
MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG discontinued this engagement because in February 2020 Sibanye Gold Limited became - through an internal restructuring - a subsidiary of holding and listed company Sibanye Stillwater Limited. Thus, the party to this engagement dialogue going forward is Sibanye Stillwater Limited.		

Siemens AG		ISIN US8261975010
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.3: Promote the rule of law and ensure equal access to justice for all	QUARTER Q1 2017
THEME Self-determination		LOCATION Disputed Territories (Western Sahara)
MOTIVATION FOR CLOSING ENGAGEMENT This engagement has been closed as the underlying Norm-Based Research assessment has been upgraded to Green, as in September 2020 Siemens AG spun off its energy business into Siemens Energy AG, which		

inherited Siemens AG's majority stake in Siemens Gamesa Renewable Energy SA (SGRE). Thus, the party to this engagement going forward is Siemens Energy AG.

SK Holdings Co., Ltd.		ISIN KR7034730002
	SDG ALIGNMENT SDG 11: Sustainable Cities and Communities; 11.1: Access for all to adequate, safe and affordable housing	QUARTER Q1 2020
THEME Living standards, Right to life, Stakeholder consultation; Anti-competitive behaviour		LOCATIONS Cambodia and South Korea
MOTIVATION FOR CLOSING ENGAGEMENT Most of the irremediable impacts of the accident at the Xe-Pian Xe-Namnoy dam have been observed in Laos, and there has been a lack of significant developments or renewed and detailed allegations with regard to Cambodia. Therefore, ISS ESG closed the engagement on the Cambodia impacts of this dam accident.  In addition, ISS ESG closed the engagement related to anti-competitive behaviour as the underlying controversy has been upgraded to Green. This change occurred because ISS ESG assessed the company with having taken credible steps to address anti-competitive practices violations.		

SK Innovation Co., Ltd.		ISIN KR7096770003
	SDG ALIGNMENT N/A	QUARTER Q1 2020
THEME Anti-competitive behaviour		LOCATION South Korea
MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG closed this engagement as the underlying Norm-Based Research assessment was upgraded to Green. This change occurred because ISS ESG assessed the company with having taken credible steps to address anti-competitive practices violations.		


SNC-Lavalin Group, Inc.		ISIN CA78460T1057
	SDG ALIGNMENT SDG 17: Partnerships for the Goals; 17.1: Strengthen domestic resource mobilization	QUARTER Q4 2018
THEMES Taxation		LOCATION Senegal
MOTIVATION FOR CLOSING ENGAGEMENT		


The Norm-Based Research assessment was revised to Green on 4 March 2020, as the allegations of the company's failure to pay its fair share of taxes in Senegal did not lead to any publicly disclosed formal investigation. As a result, engagement on the topic has been closed.


S-Oil Corp.		ISIN KR7010950004
	SDG ALIGNMENT N/A	QUARTER Q1 2020
THEME Anti-competitive behaviour		LOCATION South Korea
MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG closed this engagement as the underlying Norm-Based Research assessment was upgraded to Green, as the company was assessed to have taken credible steps to address anti-competitive practices violations.		


Station Casinos LLC		ISIN US857691AB53
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q3 2019
THEME Union rights		LOCATION United States
MOTIVATION FOR CLOSING ENGAGEMENT In April 2020, Red Rock Resorts, Inc. declined to participate in the engagement facilitated by ISS ESG and confirmed that it has no intention to engage on the ESG topics identified. As such, this engagement has been discontinued.		

Sun Hung Kai Properties Ltd.		ISIN HK0016000132
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q1 2016
THEME Bribery		LOCATION Hong Kong
MOTIVATION FOR CLOSING ENGAGEMENT The assessment has been revised to Green on 24 January 2020. Given the extended time frame since the bribery incident, and that no new allegations of bribery have emerged, ISS ESG deems the company's involvement to be past. As a result, engagement with the company on the topic is satisfactorily completed.		


Telefonaktiebolaget LM Ericsson		ISIN XS0307504547
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q2 2018
THEME Bribery		LOCATION South Africa
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green as of 13 January 2020, as ISS ESG assessed the company to no longer be involved in the matter. As a result, engagement on the topic has been closed.		



Teva Pharmaceutical Industries Ltd.		ISIN IL0006290147
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q4 2017
THEME Bribery		LOCATION Mexico, Russia and Ukraine
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 3 June 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent bribery in Mexico, Russia and Ukraine. As a result, engagement on the topic has been closed.		

The Blackstone Group, Inc.		ISIN US09253U1088
	SDG ALIGNMENT SDG 17: Partnerships for the Goals; 17.1: Strengthen domestic resource mobilization	QUARTER Q3 2018
THEME Taxation		LOCATION United Kingdom
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 4 March 2020, as ISS ESG assessed that the company was no longer involved in the failure to pay fair share of taxes in the United Kingdom. As a result, engagement on the topic has been closed.		


The Boeing Co.		ISIN US0970231058
	SDG ALIGNMENT	QUARTER Q4 2019


SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages		
THEME Consumer health, Consumer rights, Right to life		LOCATION United States
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 20 March 2020 as there have been no reports of fatal accidents attributed to the company within the U.S. As a result, engagement on this consumer health and safety issue has been closed.		


The Coca-Cola Co.		ISIN US191216AR14
	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.8: Protect labour rights and promote safe and secure working environments for all workers	QUARTER Q2 2020
THEME Union rights		LOCATION United States
MOTIVATION FOR CLOSING ENGAGEMENT ISS ESG has closed this engagement as the underlying controversy has been upgraded to Green, as there have been no new allegations of anti-union activity raised against Coca-Cola Beverages Northeast, Inc. since 2017.		


The GEO Group, Inc.		ISIN US36159R1032
 	SDG ALIGNMENT SDG 8: Decent Work and Economic Growth; 8.7: Measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour SDG 10: Reduced Inequalities; 10.7: Facilitate orderly, safe, regular and responsible migration SDG 16: Peace, justice and Strong Institutions; 16.1: Reduce all forms of violence and related death rates everywhere	QUARTER Q3 2019
THEMES Human rights due diligence, Torture / inhumane treatment; Working conditions: Forced labour, Living wage, Modern slavery		LOCATIONS United States
MOTIVATION FOR CLOSING ENGAGEMENT The GEO Group, Inc. declined to participate in the engagement facilitated by ISS ESG. As such, this engagement has been discontinued.		





The Goldman Sachs Group, Inc.		ISIN US38141EA257
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q1 2020
THEME Bribery		LOCATION United Arab Emirates, Malaysia and United States
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>The Norm-Based Research assessment was revised to Green on 11 September 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent bribery in Malaysia and the United Arab Emirates. As a result, engagement on the topic has been closed.</p> <p>The Norm-Based Research assessment was revised to Green on 9 September 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent money laundering in the United States. As a result, engagement on the topic has been closed.</p>		

ThyssenKrupp AG		ISIN DE0007500001
	SDG ALIGNMENT SDG 16: Peace, justice and Strong Institutions; 16.5: Reduce corruption and bribery in all their forms	QUARTER Q1 2018
THEME Bribery		LOCATIONS Greece
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>The Norm-Based Research assessment was revised to Green on 21 February 2020, as ISS ESG assessed that the company was no longer involved in the failure to prevent bribery in Greece. As a result, engagement on the topic has been closed.</p>		

TKJP Corp.		ISIN JP3457000002
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; Overarching: Ensure healthy lives and promote well-being for all at all ages	QUARTER Q2 2016
THEME Consumer health, Consumer rights, Right to life		LOCATION Japan
<p>MOTIVATION FOR CLOSING ENGAGEMENT</p> <p>ISS ESG has closed this engagement as the underlying controversy has been upgraded from Amber, Score 8 (Alleged failure) to Green, Score 1 (No allegation). Given the now Green signal of this controversy, there is no need for further engagement at this time.</p>		

Uber Technologies, Inc.		ISIN US90353T1007
	SDG ALIGNMENT SDG 17: Partnerships for the Goals; 17.1: Strengthen domestic resource mobilization	QUARTER Q1 2020
THEME Taxation		LOCATION United Kingdom
MOTIVATION FOR CLOSING ENGAGEMENT Technical limitations with the case concept require that this case be closed, not the case intended to be closed: "Failure to respect consumer health and safety in the United Kingdom." Regarding this latter case, it has been upgraded to Green, as Westminster Magistrates' Court and Transport for London have recognized that Uber London Limited (ULL), an indirectly controlled subsidiary of Uber Technologies, Inc., is taking credible measures to address public safety concerns in London.		

UnitedHealth Group, Inc.		ISIN US91324PAX06
	SDG ALIGNMENT SDG 3: Good Health and Wellbeing; 3.8: Achieve universal health coverage	QUARTER Q3 2019
THEME Consumer rights, Right to health		LOCATION United States
MOTIVATION FOR CLOSING ENGAGEMENT The Norm-Based Research assessment was revised to Green on 10 March 2020, as ISS ESG assessed that the company was no longer involved in the controversy given that no renewed allegations have been reported since 2017 when lawsuits alleging UnitedHealth Group, Inc. was involved in defrauding the United States Medicare Advantage program were unsealed. As a result, engagement on the topic has been closed.		

Volkswagen AG		ISIN DE0007664005
	SDG ALIGNMENT SDG 12: Responsible Consumption and Production; 12.4: Environmentally sound management of chemicals and all wastes	QUARTER Q3 2019
THEME Environmental impacts: Air pollution		LOCATION United States
MOTIVATION FOR CLOSING ENGAGEMENT The engagement was closed as ISS ESG assessed that the company had successfully completed its U.S. Department of Justice-appointed monitorship that resulted from the company equipping cars with software designed to cheat emissions tests, and thus the Norm-Based Research assessment was revised to Green.		

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