

Company	Reason for Exclusion	Country	Excluded since
Aryt Industries Ltd	Controversial Weapons (AFM)	ISRAEL	Q2 2013
Ashot Ashkelon Industries Ltd	Controversial Weapons (AFM)	ISRAEL	Q2 2013
Norinco International	Controversial Weapons (AFM)	CHINA	Q2 2013
Adani Enterprises Ltd	Environmental Degradation in India	INDIA	Q3 2013
Adani Ports & Special Economic Zone Ltd	Environmental Degradation in India	INDIA	Q3 2013
ADANI POWER LTD	Thermal Coal Criteria Breached	INDIA	Q4 2018
ADARO ENERGY TBK PT	Thermal Coal Criteria Breached	INDONESIA	Q4 2018
Aerojet Rocketdyne Holdings, Inc.	Controversial Weapons Criteria Breached	UNITED STATES	Q4 2017
AES GENER SA	Thermal Coal Criteria Breached	CHILE	Q4 2018
AGL ENERGY LTD	Thermal Coal Criteria Breached	AUSTRALIA	Q4 2018
AGRITRADE RESOURCES LTD	Thermal Coal Criteria Breached	HONG KONG	Q4 2018
ALLIANCE HOLDINGS GP LP	Thermal Coal Criteria Breached	UNITED STATES	Q4 2018
ALLIANCE RESOURCE PARTNERS	Thermal Coal Criteria Breached	UNITED STATES	Q4 2018
ALPHA NATURAL RESOURCES	Thermal Coal Criteria Breached	United States	Q4 2018
Altria Group, Inc.	Tobacco Criteria Breached	UNITED STATES	Q4 2017
AMERICAN ELECTRIC POWER	Thermal Coal Criteria Breached	UNITED STATES	Q4 2018
American Outdoor Brands Corporation	Small Arms Criteria Breached	UNITED STATES	Q4 2018
ARCH COAL INC - A	Thermal Coal Criteria Breached	UNITED STATES	Q4 2018
Aselsan Elektronik Sanayi ve Ticaret Anonim Sirketi	Controversial Weapons Criteria Breached	TURKEY	Q4 2017
Atlantia S.p.A.	Collapse of a bridge managed by the company	ITALY	Q4 2018
ATLAS RESOURCES TBK PT	Thermal Coal Criteria Breached	INDONESIA	Q4 2018
Autostrade per l'Italia SpA	Collapse of a bridge managed by the company	ITALY	Q4 2018
AYALA CORPORATION	Thermal Coal Criteria Breached	PHILIPPINES	Q4 2018
AYC FINANCE LTD	Thermal Coal Criteria Breached	Philippines	Q4 2018
B.A.T. International Finance p.l.c.	Tobacco Criteria Breached	BRITAIN	Q4 2017
BABCOCK & WILCOX ENTERPR	Thermal Coal Criteria Breached	UNITED STATES	Q4 2018
BAE Systems plc	Controversial Weapons Criteria Breached	BRITAIN	Q4 2017
BANPU PUBLIC CO LTD	Thermal Coal Criteria Breached	THAILAND	Q4 2018
BARAMULTI SUKSESSARANA TBK P	Thermal Coal Criteria Breached	INDONESIA	Q4 2018
Barrick Gold Corp	Use of Riverine Tailings	CANADA	Q4 2007
BATHURST RESOURCES LTD	Thermal Coal Criteria Breached	NEW ZEALAND	Q4 2018
BAYAN RESOURCES GROUP	Thermal Coal Criteria Breached	INDONESIA	Q4 2018
BEIJING HAOHUA ENERGY RESO-A	Thermal Coal Criteria Breached	CHINA	Q4 2018
BISICHI MINING PLC	Thermal Coal Criteria Breached	BRITAIN	Q4 2018
British American Tobacco (Malaysia) Berhad	Tobacco Criteria Breached	MALAYSIA	Q4 2017
British American Tobacco Holdings (The Netherlands) B.V.	Tobacco Criteria Breached	THE NETHERLANDS	Q4 2017
British American Tobacco p.l.c.	Tobacco Criteria Breached	BRITAIN	Q4 2017
BUKIT ASAM TBK PT	Thermal Coal Criteria Breached	INDONESIA	Q4 2018
BUMI RESOURCES TBK PT	Thermal Coal Criteria Breached	INDONESIA	Q4 2018
Camping World Holdings Inc	Small Arms Criteria Breached	UNITED STATES	Q4 2018
Canadian Tire Corporation, Limited	Small Arms Criteria Breached	CANADA	Q4 2018
CASTLE PEAK PWR FIN CO	Thermal Coal Criteria Breached	Hong Kong	Q4 2018
CESC LTD	Thermal Coal Criteria Breached	INDIA	Q4 2018
Chemring Group PLC	Small Arms Criteria Breached	BRITAIN	Q4 2018
China Aerospace International Holdings Limited	Controversial Weapons Criteria Breached	HONG KONG	Q4 2017
CHINA COAL ENERGY CO-H	Thermal Coal Criteria Breached	CHINA	Q4 2018
China Northern Rare Earth (Group) High-Tech Co Ltd	Environmental Mismanagement	CHINA	Q4 2018
China Petroleum & Chemical Corp	Activities in Sudan; Health and Safety in China	CHINA	Q4 2007
CHINA POWER INTERNATIONAL	Thermal Coal Criteria Breached	HONG KONG	Q4 2018
CHINA RESOURCES POWER HOLDIN	Thermal Coal Criteria Breached	HONG KONG	Q4 2018
CHINA SHENHUA ENERGY CO-H	Thermal Coal Criteria Breached	CHINA	Q4 2018
China Spacesat Co Ltd	Controversial Weapons Criteria Breached	CHINA	Q4 2018
Chinese Estates Holdings Ltd.	Bribery and Corruption in China	HONG KONG	Q4 2018
CITIC LTD	Thermal Coal Criteria Breached	HONG KONG	Q4 2018
CLOUD PEAK ENERGY INC	Thermal Coal Criteria Breached	UNITED STATES	Q4 2018
CLP HOLDINGS LTD	Thermal Coal Criteria Breached	HONG KONG	Q4 2018
CLP POWER HK FINANCING	Thermal Coal Criteria Breached	Hong Kong	Q4 2018
CNPC (HK) Overseas Capital Ltd.	Activities in Burma and Sudan	CHINA	Q4 2007
CNPC General Capital Limited	Activities in Burma and Sudan	CHINA	Q4 2007
COAL ENERGY SA	Thermal Coal Criteria Breached	UKRAINE	Q4 2018
COAL INDIA LTD	Thermal Coal Criteria Breached	INDIA	Q4 2018
Compagnie Financière Richemont SA	Small Arms Criteria Breached	SWITZERLAND	Q4 2018
CONSOL ENERGY INC	Thermal Coal Criteria Breached	UNITED STATES	Q4 2018
Daicel Corporation	Small Arms Criteria Breached	JAPAN	Q4 2018
Dassault Aviation S.A.	Controversial Weapons Criteria Breached	FRANCE	Q4 2017
DATANG INTL POWER GEN CO-H	Thermal Coal Criteria Breached	CHINA	Q4 2018
DATONG COAL INDUSTRY CO -A	Thermal Coal Criteria Breached	CHINA	Q4 2018
DIAN SWASTATIKA SENTOSA TBK	Thermal Coal Criteria Breached	INDONESIA	Q4 2018
Dick's Sporting Goods Inc	Small Arms Criteria Breached	UNITED STATES	Q4 2018
DTE ENERGY COMPANY	Thermal Coal Criteria Breached	UNITED STATES	Q4 2018
Eastern Tobacco	Tobacco Criteria Breached	EGYPT	Q3 2018
Elbit Systems Ltd.	Controversial Weapons Criteria Breached	ISRAEL	Q4 2017
EMPRESA ELEC GUACOLDA	Thermal Coal Criteria Breached	Chile	Q4 2018
EMPRESA ELECTRICA ANGAMO	Thermal Coal Criteria Breached	Chile	Q4 2018
ENEA SA	Thermal Coal Criteria Breached	POLAND	Q4 2018
ENERGY EARTH PCL	Thermal Coal Criteria Breached	THAILAND	Q4 2018
Energy Transfer Equity, L.P.	Community relations	UNITED STATES	Q3 2017
ENGIE ENERGIA CHILE SA	Thermal Coal Criteria Breached	CHILE	Q4 2018

EP ENERGY AS	Thermal Coal Criteria Breached	Czech Republic	Q4 2018
Equifax Inc.	Severe Data Breach	UNITED STATES	Q1 2018
ESKOM HOLDINGS SOC LTD	Thermal Coal Criteria Breached	South Africa	Q4 2018
Esterline Technologies Corporation	Controversial Weapons Criteria Breached	UNITED STATES	Q4 2017
ETERNA CAPITAL PTE LTD	Thermal Coal Criteria Breached	Singapore	Q4 2018
EVERGY INC	Thermal Coal Criteria Breached	United States	Q4 2018
EXPLOITASI ENERGI INDONESIA	Thermal Coal Criteria Breached	INDONESIA	Q4 2018
EXXARO RESOURCES LTD	Thermal Coal Criteria Breached	SOUTH AFRICA	Q4 2018
EZCORP, Inc.	Small Arms Criteria Breached	UNITED STATES	Q4 2018
FIRSTENERGY CORP	Thermal Coal Criteria Breached	UNITED STATES	Q4 2018
FITA INTERNATIONAL LTD	Thermal Coal Criteria Breached	Hong Kong	Q4 2018
FORESIGHT ENERGY LP	Thermal Coal Criteria Breached	UNITED STATES	Q4 2018
FORMOSA PETROCHEMICAL CORP	Thermal Coal Criteria Breached	TAIWAN	Q4 2018
Freeport-McMoRan Inc	Environmental Pollution in Indonesia	UNITED STATES	Q4 2007
G4S PLC	Human Rights Violations In Facilities	BRITAIN	Q1 2014
GD POWER DEVELOPMENT CO -A	Thermal Coal Criteria Breached	CHINA	Q4 2018
General Dynamics Corporation	Controversial Weapons Criteria Breached	UNITED STATES	Q4 2017
GENTING BHD	Thermal Coal Criteria Breached	MALAYSIA	Q4 2018
GEO COAL INTERNATIONAL	Thermal Coal Criteria Breached	Singapore	Q4 2018
GEO ENERGY RESOURCES LTD	Thermal Coal Criteria Breached	SINGAPORE	Q4 2018
GMR HYDERBAD INTERNATIONAL A	Thermal Coal Criteria Breached	INDIA	Q4 2018
GMR INFRASTRUCTURE LTD	Thermal Coal Criteria Breached	INDIA	Q4 2018
Godfrey Phillips India Limited	Tobacco Criteria Breached	INDIA	Q4 2017
GOHL CAPITAL LTD	Thermal Coal Criteria Breached	United Kingdom	Q4 2018
GOLDEN EAGLE ENERGY TBK PT	Thermal Coal Criteria Breached	INDONESIA	Q4 2018
Grupo Mexico SAB de CV	Labour Conflict in Mexico	MEXICO	Q4 2012
GUANGDONG ELECTRIC POWER-B	Thermal Coal Criteria Breached	CHINA	Q4 2018
GUANGDONG INVESTMENT LTD	Thermal Coal Criteria Breached	HONG KONG	Q4 2018
GUANGZHOU DEVELOPMENT GRP-A	Thermal Coal Criteria Breached	CHINA	Q4 2018
GUJARAT MINERAL DEV CORP LTD	Thermal Coal Criteria Breached	INDIA	Q4 2018
HALLADOR ENERGY CO	Thermal Coal Criteria Breached	UNITED STATES	Q4 2018
Hanwha Chemical Corporation	Controversial Weapons Criteria Breached	SOUTH KOREA	Q4 2017
Hanwha Corp	Controversial Weapons	SOUTH KOREA	Q2 2008
Hanwha Life Insurance Co., Ltd.	Controversial Weapons Criteria Breached	SOUTH KOREA	Q4 2017
Hanwha Techwin Co., Ltd.	Controversial Weapons Criteria Breached	SOUTH KOREA	Q4 2017
HARUM ENERGY TBK PT	Thermal Coal Criteria Breached	SOUTH KOREA	Q4 2017
HEG LTD	Thermal Coal Criteria Breached	INDONESIA	Q4 2018
HK ELECTRIC INVESTMENTS -SS	Thermal Coal Criteria Breached	INDIA	Q4 2018
HONGKONG ELECTRIC FIN	Thermal Coal Criteria Breached	HONG KONG	Q4 2018
HUADIAN POWER INTL CORP-H	Thermal Coal Criteria Breached	British Virgin Islands	Q4 2018
HUANENG POWER INTL INC-H	Thermal Coal Criteria Breached	CHINA	Q4 2018
ICHOR COAL NV	Thermal Coal Criteria Breached	CHINA	Q4 2018
Imperial Brands Finance PLC	Thermal Coal Criteria Breached	SOUTH AFRICA	Q4 2018
Imperial Brands PLC	Tobacco Criteria Breached	BRITAIN	Q4 2017
INDIKA ENERGY III PTE	Tobacco Criteria Breached	BRITAIN	Q4 2017
INDIKA ENERGY TBK PT	Thermal Coal Criteria Breached	Singapore	Q4 2018
INDO ENERGY FINANCE II	Thermal Coal Criteria Breached	INDONESIA	Q4 2018
INDO TAMBANGRAYA MEGAH TBK P	Thermal Coal Criteria Breached	Netherlands	Q4 2018
INNER MONGOLIA MENGDIAN HU-A	Thermal Coal Criteria Breached	INDONESIA	Q4 2018
INNER MONGOLIA PINGZHUANG -A	Thermal Coal Criteria Breached	CHINA	Q4 2018
INNER MONGOLIA YITAI COAL-B	Thermal Coal Criteria Breached	CHINA	Q4 2018
Insys Therapeutics Inc	Thermal Coal Criteria Breached	CHINA	Q4 2018
INTRA ENERGY CORP LTD	Severe Bribery Allegations	UNITED STATES	Q1 2018
ITC Limited	Thermal Coal Criteria Breached	AUSTRALIA	Q4 2018
JAIPRAKASH ASSOCIATES LTD	Tobacco Criteria Breached	INDIA	Q4 2017
Japan Tobacco Inc.	Thermal Coal Criteria Breached	INDIA	Q4 2018
JBS S.A.	Tobacco Criteria Breached	JAPAN	Q4 2017
JINDAL STEEL & POWER LTD	Bribery and Corruption	BRAZIL	Q3 2017
Johnson & Johnson	Thermal Coal Criteria Breached	INDIA	Q4 2018
JSW ENERGY LTD	Thermal Coal Criteria Breached	UNITED STATES	Q1 2016
Khon Kaen Sugar Industry PCL	Product Safety	INDIA	Q4 2018
KINETIC MINES AND ENERGY LTD	Thermal Coal Criteria Breached	INDIA	Q4 2018
KSK ENERGY VENTURES LTD	Landgrabbing and Child Labour in Cambodia	THAILAND	Q4 2012
KT&G Corporation	Thermal Coal Criteria Breached	CHINA	Q4 2018
KUZBASSKAYA TOPLIVNAYA CO	Thermal Coal Criteria Breached	INDIA	Q4 2018
L&T Finance Holdings Limited	Tobacco Criteria Breached	SOUTH KOREA	Q4 2017
LANCO INFRATECH LTD	Thermal Coal Criteria Breached	RUSSIA	Q4 2018
Larsen & Toubro Infotech Limited	Controversial Weapons Criteria Breached	INDIA	Q4 2017
Larsen & Toubro Limited	Controversial Weapons Criteria Breached	INDIA	Q4 2017
Leonardo S.p.a.	Controversial Weapons Criteria Breached	INDIA	Q4 2017
LUBELSKI WEGIEL BOGDANKA SA	Thermal Coal Criteria Breached	ITALY	Q4 2017
Mexico Generadora de Energia S de RI	Labour Conflict in Mexico	POLAND	Q4 2018
MITRABARA ADIPERDANA TBK PT	Labour Conflict in Mexico	MEXICO	Q4 2018
Mitsubishi Motors Corp	Thermal Coal Criteria Breached	INDONESIA	Q4 2018
MTN (Mauritius) Investments Ltd.	Manipulation of fuel consumption tests	JAPAN	Q3 2016
MTN Group Ltd	Human Rights Risks in Iran and Syria	SOUTH AFRICA	Q1 2012
NACCO INDUSTRIES-CL A	Human Rights Risks in Iran and Syria	SOUTH AFRICA	Q1 2012
NAN NAN RESOURCES ENTERPRISE	Thermal Coal Criteria Breached	UNITED STATES	Q4 2018
NEW HOPE CORP LTD	Thermal Coal Criteria Breached	HONG KONG	Q4 2018
NEW WORLD DEVELOPMENT	Thermal Coal Criteria Breached	AUSTRALIA	Q4 2018
	Thermal Coal Criteria Breached	HONG KONG	Q4 2018

NISOURCE INC	Thermal Coal Criteria Breached	UNITED STATES	Q4 2018
NLC INDIA LTD	Thermal Coal Criteria Breached	INDIA	Q4 2018
Northrop Grumman Corporation	Controversial Weapons Criteria Breached	UNITED STATES	Q4 2018
Novartis	Bribery and corruption	Zwitserland	Q2 2018
NTPC LTD	Thermal Coal Criteria Breached	INDIA	Q4 2018
NWD MTN LTD	Thermal Coal Criteria Breached	Hong Kong	Q4 2018
NWS HOLDINGS LTD	Thermal Coal Criteria Breached	HONG KONG	Q4 2018
Odebrecht SA	Bribery and Corruption	BRAZIL	Q3 2016
Oil & Natural Gas Corp Ltd	Activities in Sudan	INDIA	Q4 2007
Olin Corporation	Small Arms Criteria Breached	UNITED STATES	Q4 2018
ONGC Videsh Ltd.	Activities in Sudan	INDIA	Q4 2007
Ongc Videsh Vankorneft Pte. Ltd.	Activities in Sudan	INDIA	Q4 2007
OTTER TAIL CORP	Thermal Coal Criteria Breached	UNITED STATES	Q4 2018
PARDEE RESOURCES CO INC	Thermal Coal Criteria Breached	UNITED STATES	Q4 2018
PEABODY ENERGY CORP	Thermal Coal Criteria Breached	UNITED STATES	Q4 2018
PERUSAHAAN LISTRIK NEGAR	Thermal Coal Criteria Breached	Indonesia	Q4 2018
Petrobras Distribuidora S.A.	Bribery and corruption	BRAZIL	Q4 2018
PetroChina Co Ltd	Activities in Burma and Sudan	CHINA	Q4 2007
Petroleo Brasileiro SA	Bribery and Corruption	BRAZIL	Q3 2015
Petroleos Mexicanos	Employee Health and Safety	MEXICO	Q1 2013
PGE SA	Thermal Coal Criteria Breached	POLAND	Q4 2018
PGE SWEDEN AB	Thermal Coal Criteria Breached	Sweden	Q4 2018
PHA LAI THERMAL POWER JSC	Thermal Coal Criteria Breached	VIETNAM	Q4 2018
Philip Morris CR a.s.	Tobacco Criteria Breached	CZECH	Q4 2017
Philip Morris International Inc.	Tobacco Criteria Breached	UNITED STATES	Q4 2017
POLSKIE GORNICTWO NAFTOWE I	Thermal Coal Criteria Breached	POLAND	Q4 2018
Poongsan Corp	Small Arms Criteria and Controversial Weapons Criteria Breached	SOUTH KOREA	Q4 2007
Poongsan Holdings Corp	Small Arms Criteria and Controversial Weapons Criteria Breached	SOUTH KOREA	Q4 2007
POWER ASSETS HOLDINGS LTD	Thermal Coal Criteria Breached	HONG KONG	Q4 2018
PPL CORP	Thermal Coal Criteria Breached	UNITED STATES	Q4 2018
PT Gudang Garam Tbk	Tobacco Criteria Breached	INDONESIA	Q4 2017
PT Hanjaya Mandala Sampoerna Tbk	Tobacco Criteria Breached	INDONESIA	Q4 2017
Reinet Investments S.C.A.	Tobacco Criteria Breached	LUXEMBOURG	Q4 2018
RELIANCE INFRASTRUCTURE LTD	Thermal Coal Criteria Breached	INDIA	Q4 2018
RELIANCE POWER LTD	Thermal Coal Criteria Breached	INDIA	Q4 2018
RESOURCE ALAM INDONESIA TBK	Thermal Coal Criteria Breached	INDONESIA	Q4 2018
RHINO RESOURCE PARTNERS LP	Thermal Coal Criteria Breached	UNITED STATES	Q4 2018
SARDA ENERGY & MINERALS LTD	Thermal Coal Criteria Breached	INDIA	Q4 2018
SDIC XINJI ENERGY CO -A	Thermal Coal Criteria Breached	CHINA	Q4 2018
SEMIRARA MINING AND POWER CO	Thermal Coal Criteria Breached	PHILIPPINES	Q4 2018
Severstal PAO	Employee Health and Safety	RUSSIA	Q2 2016
SHANXI COKING CO LTD-A	Thermal Coal Criteria Breached	CHINA	Q4 2018
SHANXI XISHAN COAL & ELEC-A	Thermal Coal Criteria Breached	CHINA	Q4 2018
SHENHUA OVERSEAS CAPITAL	Thermal Coal Criteria Breached	CHINA	Q4 2018
Sinopec Capital (2013) Ltd.	Activities in Sudan; Health and Safety in China	British Virgin Islands	Q4 2018
Sinopec Kantons Holdings Ltd	Health and Safety in China	HONG KONG	Q4 2007
Southern Copper Corp	Labour Conflict in Mexico	HONG KONG	Q4 2007
Steel Capital S.A.	Employee Health and Safety	PERU	Q4 2010
Steinhoff	Accounting Irregularities	RUSSIA	Q2 2016
Sturm, Ruger & Company, Inc.	Small Arms Criteria Breached	SOUTH AFRICA	Q2 2018
Swedish Match AB (publ)	Tobacco Criteria Breached	UNITED STATES	Q4 2018
Tahoe Resources Inc	Human Rights Violations in Guatemala	SWEDEN	Q4 2017
Takata Corp	Quality and Safety	UNITED STATES	Q3 2013
Tata Communications Ltd	Controversial Weapons Criteria Breached	JAPAN	Q3 2016
TATA POWER CO LTD	Thermal Coal Criteria Breached	INDIA	Q2 2018
Tata Power Co Ltd/The	Controversial Weapons Criteria Breached	INDIA	Q4 2018
TAURON POLSKA ENERGIA SA	Thermal Coal Criteria Breached	INDIA	Q2 2018
Thales S.A.	Thermal Coal Criteria Breached	POLAND	Q4 2018
TOBA BARA SEJAHTRA TBK PT	Controversial Weapons Criteria Breached	FRANCE	Q4 2017
Tokyo Electric Power Co Inc	Thermal Coal Criteria Breached	INDONESIA	Q4 2018
TongYang Life Insurance Co Ltd	Nuclear Disaster Japan	JAPAN	Q3 2011
TOP ENERGY CO LTD SHANXI-A	Serious cases of alleged embezzlement and fraud	SOUTH KOREA	Q4 2018
Toshiba Corp	Thermal Coal Criteria Breached	CHINA	Q4 2018
TRANSALTA CORP	Accounting irregularities	JAPAN	Q2 2016
Turning Point Brands	Thermal Coal Criteria Breached	CANADA	Q4 2018
Unitech Limited	Tobacco Criteria Breached	UNITED STATES	Q4 2018
UNIVERSAL COAL PLC - CDI	Quality and safety	INDIA	Q3 2017
Valeant Pharmaceuticals	Thermal Coal Criteria Breached	BRITAIN	Q4 2018
Vector Group Ltd.	Access to medicine issues; Accounting irregularities	UNITED STATES	Q3 2016
VECTREN CORP	Tobacco Criteria Breached	UNITED STATES	Q4 2017
VEDANTA LTD	Thermal Coal Criteria Breached	UNITED STATES	Q4 2018
VEDANTA RESOURCES PLC	Thermal Coal Criteria Breached	INDIA	Q4 2018
VIMETCO NV-GDR 144A	Thermal Coal Criteria Breached	INDIA	Q4 2018
VISA STEEL LTD	Thermal Coal Criteria Breached	INDIA	Q4 2018
Vista Outdoor Inc	Thermal Coal Criteria Breached	NETHERLANDS	Q4 2018
Volkswagen AG	Small Arms Criteria Breached	INDIA	Q4 2018
Walmart Inc.	Manipulation of the U.S. Environmental Protection Agency's emissions tests	UNITED STATES	Q4 2018
WASHINGTON H. SOUL PATTINSON	Small Arms Criteria Breached	GERMANY	Q1 2016
WEC ENERGY GROUP INC	Thermal Coal Criteria Breached	UNITED STATES	Q4 2018
Wells Fargo & Company	Thermal Coal Criteria Breached	AUSTRALIA	Q4 2018
	Business Ethics Incidents	UNITED STATES	Q4 2018
		UNITED STATES	Q1 2017



WESCOAL HOLDINGS LTD	Thermal Coal Criteria Breached
WESTMORELAND COAL CO	Thermal Coal Criteria Breached
WESTMORELAND RESOURCE PARTNE	Thermal Coal Criteria Breached
WHITEHAVEN COAL LTD	Thermal Coal Criteria Breached
WINTIME ENERGY CO LTD-A	Thermal Coal Criteria Breached
XXL ASA	Small Arms Criteria Breached
YANCOAL AUSTRALIA LTD	Thermal Coal Criteria Breached
YANGQUAN COAL INDUSTRY GRP-A	Thermal Coal Criteria Breached
ZESPOL ELEKTROWNI PATNOW ADA	Thermal Coal Criteria Breached
ZHEJIANG ZHENENG ELECTRIC-A	Thermal Coal Criteria Breached
Zijin Mining Group Co Ltd	Human Rights violations in Peru

SOUTH AFRICA	Q4 2018
UNITED STATES	Q4 2018
UNITED STATES	Q4 2018
AUSTRALIA	Q4 2018
CHINA	Q4 2018
NORWAY	Q4 2018
AUSTRALIA	Q4 2018
CHINA	Q4 2018
POLAND	Q4 2018
CHINA	Q4 2018
CHINA	Q1 2009

Governments Bonds from the following Countries

Belarus, Central African Republic, Eritrea, Iran, North Korea, Libya, Myanmar, Russia, Somalia, South Sudan, Sudan, Syria, Venezuela, Zimbabwe