

Company	Reason for Exclusion	Country	Excluded since
ABJA Investment Co. Pte Ltd.	CWR Criteria Breached; Thermal Coal Criteria Breached	SINGAPORE	2021 Q1
Aboitiz Equity Ventures, Inc.	Thermal Coal Criteria Breached	PHILIPPINES	2020 Q4
Aboitiz Power Corp.	Thermal Coal Criteria Breached	PHILIPPINES	2021 Q1
AC ENERGY FINANCE INTERNATIONAL LTD.	Thermal Coal Criteria Breached	CAYMAN ISLANDS	2019 Q3
Adani Abbot Point Terminal Pty Ltd.	Environmental damage and regulatory violations	AUSTRALIA	2020 Q4
Adani Electricity Mumbai Ltd.	Thermal Coal Criteria Breached	INDIA	2020 Q3
ADANI ENTERPRISES LTD	Environmental Degradation in India	INDIA	2013 Q3
ADANI PORTS & SPECIAL ECONOMIC ZONE LTD	Environmental Degradation in India	INDIA	2013 Q3
ADANI POWER LTD	Thermal Coal Criteria Breached	INDIA	2018 Q4
Adani Transmission Ltd	Thermal Coal Criteria Breached	INDIA	2020 Q3
ADARO ENERGY TBK PT	Thermal Coal Criteria Breached	INDONESIA	2018 Q4
Advantage Oil & Gas Ltd.	Shale energy Criteria Breached	CANADA	2021 Q1
AEROJET ROCKETDYNE HOLDINGS, INC.	Controversial Weapons Criteria Breached	UNITED STATES	2017 Q4
AES El Salvador Trust II	Thermal Coal Criteria Breached	PANAMA	2021 Q1
AES GENER SA	Thermal Coal Criteria Breached	CHILE	2018 Q4
AEV International Pte Ltd.	Thermal Coal Criteria Breached	SINGAPORE	2020 Q4
AGL ENERGY LTD	Thermal Coal Criteria Breached	AUSTRALIA	2018 Q4
AGRITRADE RESOURCES LTD	Thermal Coal Criteria Breached	HONG KONG	2018 Q4
Air Water Inc.	Thermal Coal Criteria Breached	JAPAN	2020 Q4
Aksa Akriklik Kimya Sanayi AS	Thermal Coal Criteria Breached	TURKEY	2020 Q4
ALARKO HOLDING A.S.	Thermal Coal Criteria Breached	TURKEY	2019 Q1
Alberta Energy Co. Ltd.	Shale energy Criteria Breached	UNITED STATES	2021 Q1
Albioma SA	Thermal Coal Criteria Breached	FRANCE	2021 Q1
ALLETE Inc	Thermal Coal Criteria Breached	UNITED STATES	2021 Q1
ALLIANCE HOLDINGS GP LP	Thermal Coal Criteria Breached	UNITED STATES	2018 Q4
ALLIANCE RESOURCE PARTNERS	Thermal Coal Criteria Breached	UNITED STATES	2018 Q4
Alliant Energy Corp.	Thermal Coal Criteria Breached	UNITED STATES	2021 Q1
ALTRIA GROUP, INC.	Tobacco Criteria Breached	UNITED STATES	2017 Q4
ALUMINUM CORPORATION OF CHINA LTD	Thermal Coal Criteria Breached	CHINA	2019 Q2
Ameren Corp.	Thermal Coal Criteria Breached	UNITED STATES	2021 Q1
AMERICAN ELECTRIC POWER	Thermal Coal Criteria Breached	UNITED STATES	2018 Q4
AMERICAN OUTDOOR BRANDS CORPORATION	Small Arms Criteria Breached	UNITED STATES	2018 Q4
AmeriGas Partners LP	Thermal Coal Criteria Breached	UNITED STATES	2021 Q1
Anhui GreatWall Military Industry Co., Ltd.	Controversial Weapons (AFM)	CHINA	2020 Q1
Antero Resources Corp.	Shale energy Criteria Breached	UNITED STATES	2021 Q1
Apache Corp	Shale energy Criteria Breached	UNITED STATES	2021 Q1
ARCH COAL INC - A	Thermal Coal Criteria Breached	UNITED STATES	2018 Q4
Arch Resources, Inc.	Thermal Coal Criteria Breached	UNITED STATES	2020 Q4
ARYT INDUSTRIES LTD	Controversial Weapons (AFM)	ISRAEL	2013 Q2
Ascent Resources Utica Holdings LLC	Shale energy Criteria Breached	UNITED STATES	2021 Q2
ASELSAN ELEKTRONIK SANAYI VE TICARET ANONIM SIRKETI	Controversial Weapons Criteria Breached	TURKEY	2017 Q4
ASHOT ASHKELON INDUSTRIES LTD	Controversial Weapons (AFM)	ISRAEL	2013 Q2
Athabasca Oil Corp.	Oil sands Criteria Breached	CANADA	2021 Q1
ATLAS RESOURCES TBK PT	Thermal Coal Criteria Breached	INDONESIA	2018 Q4
AYALA CORPORATION	Thermal Coal Criteria Breached	PHILIPPINES	2018 Q4
AYC FINANCE LTD	Thermal Coal Criteria Breached	Philippines	2018 Q4
B.A.T. INTERNATIONAL FINANCE P.L.C.	Tobacco Criteria Breached	BRITAIN	2017 Q4
BAE Systems plc	Controversial Weapons Criteria Breached	BRITAIN	2017 Q4
Banpu Power Public Co. Ltd.	Thermal Coal Criteria Breached	THAILAND	2021 Q2
BANPU PUBLIC CO LTD	Thermal Coal Criteria Breached	THAILAND	2018 Q4
BARAMULTI SUKSESSARANA TBK P	Thermal Coal Criteria Breached	INDONESIA	2018 Q4
BAYAN RESOURCES GROUP	Thermal Coal Criteria Breached	INDONESIA	2018 Q4
Baytex Energy Corp.	Shale energy Criteria Breached	CANADA	2021 Q1
BEIJING HAOHUA ENERGY RESO-A	Thermal Coal Criteria Breached	CHINA	2018 Q4
Berkshire Hathaway Inc	Thermal Coal Criteria Breached	UNITED STATES	2021 Q1
Birchcliff Energy Ltd	Shale energy Criteria Breached	CANADA	2021 Q1
BISICHI MINING PLC	Thermal Coal Criteria Breached	BRITAIN	2018 Q4
Black Hills Corp	Thermal Coal Criteria Breached	UNITED STATES	2021 Q1
Bonanza Creek Energy Inc	Shale energy Criteria Breached	UNITED STATES	2021 Q1
Brigham Minerals, Inc.	Shale energy Criteria Breached	UNITED STATES	2021 Q1
BRITISH AMERICAN TOBACCO (MALAYSIA) BERHAD	Tobacco Criteria Breached	MALAYSIA	2017 Q4
BRITISH AMERICAN TOBACCO HOLDINGS (THE NETHERLANDS) B.V.	Tobacco Criteria Breached	THE NETHERLANDS	2017 Q4
BRITISH AMERICAN TOBACCO P.L.C.	Tobacco Criteria Breached	BRITAIN	2017 Q4
BUKIT ASAM TBK PT	Thermal Coal Criteria Breached	INDONESIA	2018 Q4
BUMI RESOURCES TBK PT	Thermal Coal Criteria Breached	INDONESIA	2018 Q4
Cabot Oil & Gas Corp	Shale energy Criteria Breached	UNITED STATES	2021 Q1
CAMPING WORLD HOLDINGS INC	Small Arms Criteria Breached	UNITED STATES	2018 Q4
Canadian Natural Resources Ltd.	Oil sands Criteria Breached	CANADA	2021 Q1
CANADIAN TIRE CORPORATION, LIMITED	Small Arms Criteria Breached	CANADA	2018 Q4
CASTLE PEAK PWR FIN CO	Thermal Coal Criteria Breached	Hong Kong	2018 Q4
CELESTIAL MILES LTD.	Thermal Coal Criteria Breached	BRITISH VIRGIN	2019 Q3
Cenovus Energy Inc.	Oil sands Criteria Breached	CANADA	2021 Q1
CenterPoint Energy Inc	Thermal Coal Criteria Breached	UNITED STATES	2019 Q4
CESC LTD	Thermal Coal Criteria Breached	INDIA	2018 Q4
CEZ, a. s.	Thermal Coal Criteria Breached	CZECH	2021 Q1
Chalco Hong Kong Investment Co. Ltd.	Thermal Coal Criteria Breached	Hong Kong	2020 Q1
Chesapeake Energy Corp.	CWR Criteria Breached; Thermal Coal Criteria Breached	SINGAPORE	2021 Q1
CHINA AEROSPACE INTERNATIONAL HOLDINGS LIMITED	Controversial Weapons Criteria Breached	HONG KONG	2017 Q4
CHINA COAL ENERGY CO-H	Thermal Coal Criteria Breached	CHINA	2018 Q4
CHINA NORTHERN RARE EARTH (GROUP) HIGH-TECH CO LTD	Environmental Mismanagement	CHINA	2018 Q4
CHINA PETROLEUM & CHEMICAL CORP	Activities in Sudan; Health and Safety in China	CHINA	2007 Q4
CHINA POWER INTERNATIONAL	Thermal Coal Criteria Breached	HONG KONG	2018 Q4

CHINA RESOURCES POWER HOLDIN	Thermal Coal Criteria Breached	HONG KONG	2018 Q4
CHINA SHENHUA ENERGY CO-H	Thermal Coal Criteria Breached	CHINA	2018 Q4
CHINA SPACESAT CO LTD	Controversial Weapons Criteria Breached	CHINA	2018 Q4
CHINA STATE CONSTRUCTION FINANCE (CAYMAN) I LTD.	Thermal Coal Criteria Breached	CAYMAN ISLANDS	2019 Q2
CHINA STATE CONSTRUCTION FINANCE (CAYMAN) II LTD.	Thermal Coal Criteria Breached	CAYMAN ISLANDS	2019 Q2
CHINA STATE CONSTRUCTION INTERNATIONAL HOLDINGS LTD	Thermal Coal Criteria Breached	HONG KONG	2019 Q2
Ciech S.A.	Thermal Coal Criteria Breached	POLAND	2020 Q4
Cimarex Energy Co	Shale energy Criteria Breached	UNITED STATES	2021 Q1
CITIC LTD	Thermal Coal Criteria Breached	HONG KONG	2018 Q4
CLOUD PEAK ENERGY INC	Thermal Coal Criteria Breached	UNITED STATES	2018 Q4
CLP HOLDINGS LTD	Thermal Coal Criteria Breached	HONG KONG	2018 Q4
CLP POWER HK FINANCING	Thermal Coal Criteria Breached	Hong Kong	2018 Q4
CMS Energy Corp	Thermal Coal Criteria Breached	UNITED STATES	2021 Q1
CNPC (HK) OVERSEAS CAPITAL LTD.	Activities in Burma and Sudan	CHINA	2007 Q4
CNPC GENERAL CAPITAL LIMITED	Activities in Burma and Sudan	CHINA	2007 Q4
CNX Resources Corp.	Shale energy Criteria Breached	UNITED STATES	2021 Q1
COAL INDIA LTD	Thermal Coal Criteria Breached	INDIA	2018 Q4
COMPAGNIE FINANCIÈRE RICHEMONT SA	Small Arms Criteria Breached	SWITZERLAND	2018 Q4
Comstock Escrow Corp.	Shale energy Criteria Breached	UNITED STATES	2021 Q1
Concho Resources Inc	Shale energy Criteria Breached	UNITED STATES	2021 Q1
ConocoPhillips	Shale energy Criteria Breached	UNITED STATES	2021 Q1
CONSOL ENERGY INC	Thermal Coal Criteria Breached	UNITED STATES	2018 Q4
Continental Resources Inc	Shale energy Criteria Breached	UNITED STATES	2021 Q1
Covey Park Energy LLC	Shale energy Criteria Breached	UNITED STATES	2021 Q1
Crescent Point Energy Corp.	Shale energy Criteria Breached	CANADA	2021 Q1
CrownRock, L.P.	Shale energy Criteria Breached	UNITED STATES	2021 Q1
DANICA PENSION LIVSFORSIKRINGS A/S	Bribery and corruption	DENMARK	2019 Q1
Danske Bank A/S	Governance and control mechanisms failed	DENMARK	2019 Q4
Dassault Aviation S.A.	Controversial Weapons Criteria Breached	FRANCE	2019 Q4
DATANG INTL POWER GEN CO-H	Thermal Coal Criteria Breached	CHINA	2018 Q4
DATONG COAL INDUSTRY CO -A	Thermal Coal Criteria Breached	CHINA	2018 Q4
Devon Energy Corp	Shale energy Criteria Breached	UNITED STATES	2021 Q1
Diamondback Energy Inc	Shale energy Criteria Breached	UNITED STATES	2021 Q1
DIAN SWASTATIKA SENTOSA TBK	Thermal Coal Criteria Breached	INDONESIA	2018 Q4
DICK'S SPORTING GOODS INC	Small Arms Criteria Breached	UNITED STATES	2018 Q4
Diversified Gas & Oil Plc	Shale energy Criteria Breached	UNITED STATES	2021 Q1
DMCI HOLDINGS, INC.	Thermal Coal Criteria Breached	PHILIPPINES	2019 Q2
DPL, Inc.	Thermal Coal Criteria Breached	UNITED STATES	2021 Q1
DTE ENERGY COMPANY	Thermal Coal Criteria Breached	UNITED STATES	2018 Q4
DTEK FINANCE PLC	Thermal Coal Criteria Breached	BRITAIN	2019 Q2
EASTERN TOBACCO	Tobacco Criteria Breached	EGYPT	2018 Q3
EDP - Energias do Brasil SA	Thermal Coal Criteria Breached	BRAZIL	2021 Q1
El Sewedy Electric Co	Severe environmental impacts	EGYPT	2020 Q4
ELBIT SYSTEMS LTD.	Human rights violations and CWR Criteria Breached	ISRAEL	2017 Q4
Electric Power Development Co., Ltd.	Thermal Coal Criteria Breached	JAPAN	2021 Q1
EMPRESA ELEC GUACOLDA	Thermal Coal Criteria Breached	Chile	2018 Q4
EMPRESA ELECTRICA ANGAMO	Thermal Coal Criteria Breached	Chile	2018 Q4
EnBW Energie Baden Württemberg AG	Thermal Coal Criteria Breached	GERMANY	2021 Q1
ENBW International Finance BV	Thermal Coal Criteria Breached	NETHERLANDS	2021 Q1
Endeavor Energy Resources, LP	Shale energy Criteria Breached	UNITED STATES	2021 Q1
ENEA SA	Thermal Coal Criteria Breached	POLAND	2018 Q4
Enel Russia PJSC	Thermal Coal Criteria Breached	RUSSIA	2021 Q1
Energa SA	Thermal Coal Criteria Breached	POLAND	2021 Q1
ENERGY EARTH PCL	Thermal Coal Criteria Breached	THAILAND	2018 Q4
ENERGY TRANSFER EQUITY, L.P.	Community relations	UNITED STATES	2017 Q3
Energy Transfer Operating LP	Community relations	UNITED STATES	2020 Q3
Enerplus Corp.	Shale energy Criteria Breached	CANADA	2021 Q1
Eneva S.A.	Thermal Coal Criteria Breached	BRAZIL	2021 Q1
ENGIE ENERGIA CHILE SA	Thermal Coal Criteria Breached	CHILE	2018 Q4
EOG Resources Inc	Shale energy Criteria Breached	UNITED STATES	2021 Q1
EP ENERGY AS	Thermal Coal Criteria Breached	Czech Republic	2018 Q4
EP Infrastructure AS	Thermal Coal Criteria Breached	CZECH REPUBLIC	2019 Q1
EQT Corp	Shale energy Criteria Breached	UNITED STATES	2021 Q1
ESKOM HOLDINGS SOC LTD	Thermal Coal Criteria Breached	South Africa	2018 Q4
ETERNA CAPITAL PTE LTD	Thermal Coal Criteria Breached	Singapore	2018 Q4
Evergy, Inc.	Thermal Coal Criteria Breached	UNITED STATES	2021 Q1
EWE AG	Thermal Coal Criteria Breached	GERMANY	2021 Q2
EXPLOITASI ENERGI INDONESIA	Thermal Coal Criteria Breached	INDONESIA	2018 Q4
EXXARO RESOURCES LTD	Thermal Coal Criteria Breached	SOUTH AFRICA	2018 Q4
EZCORP, INC.	Small Arms Criteria Breached	UNITED STATES	2018 Q4
Fauji Fertilizer Co. Ltd.	Thermal Coal Criteria Breached	PAKISTAN	2020 Q4
FirstCash, Inc.	Small Arms Criteria Breached	UNITED STATES	2020 Q4
FIRSTENERGY CORP	Thermal Coal Criteria Breached	UNITED STATES	2018 Q4
FITA INTERNATIONAL LTD	Thermal Coal Criteria Breached	Hong Kong	2018 Q4
FLIR Systems, Inc.	Small Arms Criteria Breached	UNITED STATES	2020 Q3
FORESIGHT ENERGY LP	Thermal Coal Criteria Breached	UNITED STATES	2018 Q4
Fortis Inc.	Thermal Coal Criteria Breached	CANADA	2021 Q1
Gavilan Resources LLC	Shale energy Criteria Breached	UNITED STATES	2021 Q1
GD POWER DEVELOPMENT CO -A	Thermal Coal Criteria Breached	CHINA	2018 Q4
GENERAL DYNAMICS CORPORATION	Controversial Weapons Criteria Breached	UNITED STATES	2017 Q4
GENTING BHD	Thermal Coal Criteria Breached	MALAYSIA	2018 Q4
GEO COAL INTERNATIONAL	Thermal Coal Criteria Breached	Singapore	2018 Q4
GEO ENERGY RESOURCES LTD	Thermal Coal Criteria Breached	SINGAPORE	2018 Q4

GLOBAL BRASS AND COPPER HOLDINGS, INC.	Small Arms breached	UNITED STATES	2019 Q1
GMR INFRASTRUCTURE LTD	Thermal Coal Criteria Breached	INDIA	2018 Q4
GODFREY PHILLIPS INDIA LIMITED	Tobacco Criteria Breached	INDIA	2017 Q4
GOHL CAPITAL LTD	Thermal Coal Criteria Breached	United Kingdom	2018 Q4
GOLDEN EAGLE ENERGY TBK PT	Thermal Coal Criteria Breached	INDONESIA	2018 Q4
GRUPO MEXICO SAB DE CV	Labour Conflict in Mexico	MEXICO	2012 Q4
GS Holdings Corp	Thermal Coal Criteria Breached	SOUTH KOREA	2021 Q1
GUANGDONG ELECTRIC POWER-B	Thermal Coal Criteria Breached	CHINA	2018 Q4
GUANGDONG INVESTMENT LTD	Thermal Coal Criteria Breached	HONG KONG	2018 Q4
GUANGZHOU DEVELOPMENT GRP-A	Thermal Coal Criteria Breached	CHINA	2018 Q4
GUJARAT MINERAL DEV CORP LTD	Thermal Coal Criteria Breached	INDIA	2018 Q4
Gulfport Energy Corp.	Shale energy Criteria Breached	UNITED STATES	2021 Q1
HALLADOR ENERGY CO	Thermal Coal Criteria Breached	UNITED STATES	2018 Q4
Hangzhou Hikvision Digital Technology Co., Ltd.	Human rights violations	CHINA	2020 Q1
HANWHA CHEMICAL CORPORATION	Controversial Weapons Criteria Breached	SOUTH KOREA	2017 Q4
HANWHA CORP	Controversial Weapons Criteria Breached	SOUTH KOREA	2008 Q2
HANWHA LIFE INSURANCE CO., LTD.	Controversial Weapons Criteria Breached	SOUTH KOREA	2017 Q4
HANWHA TECHWIN CO., LTD.	Controversial Weapons Criteria Breached	SOUTH KOREA	2017 Q4
HARUM ENERGY TBK PT	Thermal Coal Criteria Breached	SOUTH KOREA	2017 Q4
HEG LTD	Thermal Coal Criteria Breached	INDONESIA	2018 Q4
Hess Corp	Thermal Coal Criteria Breached	INDIA	2018 Q4
HK ELECTRIC INVESTMENTS -SS	Shale energy Criteria Breached	UNITED STATES	2021 Q1
Hokkaido Electric Power Co., Inc.	Thermal Coal Criteria Breached	HONG KONG	2018 Q4
Hokuriku Electric Power Co.	Thermal Coal Criteria Breached	JAPAN	2021 Q1
Homer City Generation LP	Thermal Coal Criteria Breached	JAPAN	2021 Q1
HONGKONG ELECTRIC FIN	Thermal Coal Criteria Breached	UNITED STATES	2020 Q2
HUADIAN POWER INTL CORP-H	Thermal Coal Criteria Breached	British Virgin Islands	2018 Q4
HUANENG POWER INTL INC-H	Thermal Coal Criteria Breached	CHINA	2018 Q4
Hubei Energy Group Co. Ltd.	Thermal Coal Criteria breached	CHINA	2018 Q4
Husky Energy Inc.	Oil sands Criteria Breached	CHINA	2020 Q1
ICHOR COAL NV	Thermal Coal Criteria Breached	CANADA	2021 Q1
Idacorp Inc	Thermal Coal Criteria Breached	SOUTH AFRICA	2018 Q4
le2 Holdco S.A.	Thermal Coal Criteria Breached	UNITED STATES	2021 Q1
IMPERIAL BRANDS FINANCE PLC	Thermal Coal Criteria Breached	Spain	2020 Q1
IMPERIAL BRANDS PLC	Tobacco Criteria Breached	BRITAIN	2017 Q4
Imperial Oil Ltd	Tobacco Criteria Breached	BRITAIN	2017 Q4
India Cements Ltd.	Oil sands Criteria Breached	CANADA	2021 Q1
Indian Hotels Co. Ltd.	Thermal Coal Criteria Breached	INDIA	2021 Q1
Indigo Natural Resources LLC	CWR Criteria Breached	INDIA	2021 Q1
INDIKA ENERGY III PTE	Shale energy Criteria Breached	UNITED STATES	2021 Q1
INDIKA ENERGY TBK PT	Thermal Coal Criteria Breached	Singapore	2018 Q4
INDIVIOR FINANCE SARL	Thermal Coal Criteria Breached	INDONESIA	2018 Q4
INDIVIOR PLC	Serious cases of alleged embezzlement and fraud	LUXEMBOURG	2019 Q3
INDO ENERGY FINANCE II	Serious cases of alleged embezzlement and fraud	BRITAIN	2019 Q3
INDO TAMBANGRAYA MEGAH TBK P	Thermal Coal Criteria Breached	Netherlands	2018 Q4
Inner Mongolia Eerduosi Resources Co., Ltd.	Thermal Coal Criteria Breached	INDONESIA	2018 Q4
Inner Mongolia Junzheng Energy & Chemical Group Co., Ltd.	Thermal Coal Criteria Breached	CHINA	2020 Q4
INNER MONGOLIA MENGDIAN HU-A	Thermal Coal Criteria Breached	CHINA	2019 Q4
INNER MONGOLIA PINGZHUANG -A	Thermal Coal Criteria Breached	CHINA	2018 Q4
INNER MONGOLIA YITAI COAL-B	Thermal Coal Criteria Breached	CHINA	2018 Q4
Inner Mongolian Baotou Steel Union Co Ltd	Severe environmental and health impacts	CHINA	2018 Q4
INTRIA ENERGY CORP LTD	Thermal Coal Criteria Breached	CHINA	2020 Q1
IRPC Public Co., Ltd.	Thermal Coal Criteria Breached	AUSTRALIA	2018 Q4
ITC LIMITED	Tobacco Criteria Breached	THAILAND	2021 Q1
Itochu Enex Co.,Ltd.	Thermal Coal Criteria Breached	INDIA	2017 Q4
Jagged Peak Energy LLC	Shale energy Criteria Breached	JAPAN	2021 Q1
JAIPRAKASH ASSOCIATES LTD	Thermal Coal Criteria Breached	UNITED STATES	2021 Q1
Japan Petroleum Exploration Co., Ltd.	Thermal Coal Criteria Breached	INDIA	2018 Q4
JAPAN TOBACCO INC.	Oil sands Criteria Breached	JAPAN	2021 Q1
JBS Investments GmbH	Tobacco Criteria Breached	JAPAN	2017 Q4
JBS INVESTMENTS II GMBH	Bribery and Corruption	AUSTRIA	2019 Q4
JBS S.A.	Bribery and Corruption	AUSTRIA	2017 Q3
JINDAL STEEL & POWER LTD	Bribery and Corruption	BRAZIL	2017 Q3
JOHNSON & JOHNSON	Thermal Coal Criteria Breached	INDIA	2018 Q4
JSW ENERGY LTD	Product Safety	INDIA	2018 Q4
JT INTERNATIONAL FINANCIAL SERVICES BV	Thermal Coal Criteria Breached	UNITED STATES	2016 Q1
KGHM Polska Miedz SA	Tobacco Criteria Breached	INDIA	2018 Q4
KINETIC MINES AND ENERGY LTD	Thermal Coal Criteria Breached	NETHERLANDS	2019 Q2
KKR & Co., Inc.	Thermal Coal Criteria Breached	POLAND	2021 Q1
KKR Group Finance Co. V LLC	Thermal Coal Criteria Breached	CHINA	2018 Q4
KOBE STEEL LTD	Small Arms Criteria Breached	UNITED STATES	2020 Q4
KOREA EAST-WEST POWER CO., LTD.	Small Arms Criteria Breached	UNITED STATES	2020 Q4
Korea Electric Power Corporation	Thermal Coal Criteria Breached	JAPAN	2019 Q2
Korea Midland Power Co., Ltd.	Mass fatalities and damage to the environment and community property	SOUTH KOREA	2019 Q4
Korea South-East Power Co., Ltd.	Mass fatalities and damage to the environment and community property	SOUTH KOREA	2019 Q4
KOREA WESTERN POWER CO., LTD.	Mass fatalities and damage to the environment and community property	SOUTH KOREA	2020 Q4
KSK ENERGY VENTURES LTD	Thermal Coal Criteria Breached	SOUTH KOREA	2019 Q2
KT&G CORPORATION	Thermal Coal Criteria Breached	INDIA	2018 Q4
KUMHO PETRO CHEMICAL LTD	Tobacco Criteria Breached	SOUTH KOREA	2017 Q4
KUZBASSKAYA TOPLIVNAYA CO	Thermal Coal Criteria Breached	SOUTH KOREA	2019 Q2
L&T FINANCE HOLDINGS LIMITED	Thermal Coal Criteria Breached	RUSSIA	2018 Q4
L&T Technology Services Ltd.	Controversial Weapons Criteria Breached	INDIA	2017 Q4
L3Harris Technologies, Inc.	Human rights violations and CWR Criteria Breached	INDIA	2019 Q4
	Small Arms Criteria Breached	UNITED STATES	2020 Q3

LANCO INFRATECH LTD	Thermal Coal Criteria Breached	INDIA	2018 Q4
Laredo Petroleum Inc	Shale energy Criteria Breached	UNITED STATES	2021 Q1
LARSEN & TOUBRO INFOTECH LIMITED	Controversial Weapons Criteria Breached	INDIA	2017 Q4
LARSEN & TOUBRO LIMITED	Controversial Weapons Criteria Breached	INDIA	2017 Q4
Leonardo S.p.a.	Small Arms Criteria Breached	ITALY	2020 Q4
LIG NEX1 CO LTD	Controversial Weapons Criteria Breached	SOUTH KOREA	2019 Q2
LLPL CAPITAL PTE LTD.	Thermal Coal Criteria Breached	SINGAPORE	2019 Q3
Lockheed Martin Corp	Lockheed is linked to an attack in Yemen that resulted in a high number of civilian casualties.	UNITED STATES	2021 Q1
LUBELSKI WEGIEL BOGDANKA SA	Thermal Coal Criteria Breached	POLAND	2018 Q4
Luenmei Quantum Co., Ltd.	Thermal Coal Criteria Breached	CHINA	2020 Q4
Magnolia Oil & Gas Corp.	Shale energy Criteria Breached	UNITED STATES	2021 Q1
Magnolia Oil & Gas Operating LLC	Shale energy Criteria Breached	UNITED STATES	2021 Q1
Malakoff Corp Bhd	Thermal Coal Criteria Breached	MALAYSIA	2021 Q1
Manila Electric Co.	Thermal Coal Criteria Breached	PHILIPPINES	2021 Q2
Marathon Oil Corp.	Shale energy Criteria Breached	UNITED STATES	2021 Q1
Matador Resources Co	Shale energy Criteria Breached	UNITED STATES	2021 Q1
MCC Holding (Hong Kong) Corp. Ltd.	Waste disposal practices causing severe health and environmental impacts.	HONG KONG	2020 Q4
MDU Resources Group Inc	Thermal Coal Criteria Breached	UNITED STATES	2021 Q1
Mechel PAO	Thermal Coal Criteria Breached	RUSSIA	2020 Q1
MEG Energy Corp.	Oil sands Criteria Breached	CANADA	2021 Q1
METALLURGICAL CORPORATION OF CHINA LTD.	waste disposal practices causing severe health and environmental impacts.	CHINA	2019 Q3
METRO PACIFIC INVESTMENTS CORPORATION	Thermal Coal Criteria Breached	PHILIPPINES	2019 Q2
MEXICO GENERADORA DE ENERGIA S DE RL	Labour Conflict in Mexico	MEXICO	2018 Q4
MGE Energy Inc	Thermal Coal Criteria Breached	UNITED STATES	2021 Q1
MindTree Limited	Human rights violations and CWR Criteria Breached	INDIA	2019 Q4
MINIJESA CAPITAL BV	Thermal Coal Criteria Breached	NETHERLANDS	2019 Q2
Minera Mexico SA de CV	Southern Copper Corporation (SCC) has faced significant labour conflicts	MEXICO	2020 Q2
Mining and Metallurgical Company NORILSK NICKEL PJSC	Severe environmental damage	RUSSIA	2020 Q4
MITRABARA ADIPERDANA TBK PT	Thermal Coal Criteria Breached	INDONESIA	2018 Q4
MMC Corp Bhd	Thermal Coal Criteria Breached	MALAYSIA	2021 Q1
MMC Finance DAC	Severe environmental damage	IRELAND	2020 Q4
Mong Duong Finance Holdings BV	Thermal Coal Criteria Breached	NETHERLANDS	2021 Q1
Montage Resources Corp.	Shale energy Criteria Breached	UNITED STATES	2021 Q1
MTN (MAURITIUS) INVESTMENTS LTD.	Human Rights Risks in Iran and Syria	SOUTH AFRICA	2012 Q1
MTN GROUP LTD	Human Rights Risks in Iran and Syria	SOUTH AFRICA	2012 Q1
Murphy Oil Corp	Shale energy Criteria Breached	UNITED STATES	2021 Q1
MURRAY ENERGY CORP.	Thermal Coal Criteria Breached	UNITED STATES	2019 Q3
NACCO INDUSTRIES-CL A	Thermal Coal Criteria Breached	UNITED STATES	2018 Q4
NAN NAN RESOURCES ENTERPRISE	Thermal Coal Criteria Breached	HONG KONG	2018 Q4
National Fuel Gas Co	Shale energy Criteria Breached	UNITED STATES	2021 Q1
NEW HOPE CORP LTD	Thermal Coal Criteria Breached	AUSTRALIA	2018 Q4
New World China Land Ltd.	Thermal Coal Criteria Breached	Hong Kong	2020 Q1
NEW WORLD DEVELOPMENT	Thermal Coal Criteria Breached	HONG KONG	2018 Q4
NISOURCE INC	Thermal Coal Criteria Breached	UNITED STATES	2018 Q4
NLC INDIA LTD	Thermal Coal Criteria Breached	INDIA	2018 Q4
Noble Energy, Inc.	Shale energy Criteria Breached	UNITED STATES	2021 Q1
NORINCO INTERNATIONAL	Controversial Weapons (AFM)	CHINA	2013 Q2
Northern Oil & Gas, Inc.	Shale energy Criteria Breached	UNITED STATES	2021 Q1
NORTHROP GRUMMAN CORPORATION	Small Arms Criteria and CWR Breached	UNITED STATES	2018 Q4
NorthWestern Corp	Thermal Coal Criteria Breached	UNITED STATES	2021 Q1
NTPC LTD	Thermal Coal Criteria Breached	INDIA	2018 Q4
NVIDIA CORPORATION	GCCS Non-compliant	UNITED STATES	2019 Q3
NWD MTN LTD	Thermal Coal Criteria Breached	Hong Kong	2018 Q4
NWS HOLDINGS LTD	Thermal Coal Criteria Breached	HONG KONG	2018 Q4
Occidental Petroleum Corp.	Shale energy Criteria Breached	UNITED STATES	2021 Q1
OCI COMPANY LTD	Thermal Coal Criteria Breached	SOUTH KOREA	2019 Q2
OGÉ Energy Corp.	Thermal Coal Criteria Breached	UNITED STATES	2021 Q1
OIL & NATURAL GAS CORP LTD	Activities in Sudan	INDIA	2007 Q4
OLIN CORPORATION	Small Arms Criteria Breached	UNITED STATES	2018 Q4
ONGC VIDESH LTD.	Activities in Sudan	INDIA	2007 Q4
ONGC VIDESH VANKORNEFT PTE. LTD.	Activities in Sudan	INDIA	2007 Q4
OPUS GLOBAL Nyrt.	Thermal Coal Criteria Breached	HUNGARY	2019 Q4
ORLEN Capital AB	Thermal Coal Criteria Breached	SWEDEN	2021 Q1
OTTER TAIL CORP	Thermal Coal Criteria Breached	UNITED STATES	2018 Q4
Ovintiv Canada ULC	Shale energy Criteria Breached	UNITED STATES	2021 Q1
Ovintiv Exploration, Inc.	Shale energy Criteria Breached	UNITED STATES	2021 Q1
Ovintiv, Inc.	Shale energy Criteria Breached	UNITED STATES	2021 Q1
PAN AMERICAN SILVER CORP.	Human rights violations and CWR Criteria Breached	CANADA	2019 Q3
PARDEE RESOURCES CO INC	Thermal Coal Criteria Breached	UNITED STATES	2018 Q4
Parsley Energy	Shale energy Criteria Breached	UNITED STATES	2021 Q1
PDC Energy, Inc.	Shale energy Criteria Breached	UNITED STATES	2021 Q1
PEABODY ENERGY CORP	Thermal Coal Criteria Breached	UNITED STATES	2018 Q4
PERUSAHAAN LISTRIK NEGAR	Thermal Coal Criteria Breached	Indonesia	2018 Q4
PETROCHINA CO LTD	Activities in Burma and Sudan	CHINA	2007 Q4
PETROLEOS MEXICANOS	Employee Health and Safety	MEXICO	2013 Q1
Peyto Exploration & Development Corp	Shale energy Criteria Breached	CANADA	2021 Q1
PG&E CORP	Public safety incidents (including fatalities)	UNITED STATES	2019 Q1
PGE SA	Thermal Coal Criteria Breached	POLAND	2018 Q4
PGE SWEDEN AB	Thermal Coal Criteria Breached	Sweden	2018 Q4
PHA LAI THERMAL POWER JSC	Thermal Coal Criteria Breached	VIETNAM	2018 Q4
PHILIP MORRIS CR A.S.	Tobacco Criteria Breached	CZECH	2017 Q4
PHILIP MORRIS INTERNATIONAL INC.	Tobacco Criteria Breached	UNITED STATES	2017 Q4
Pioneer Natural Resources Co.	Shale energy Criteria Breached	UNITED STATES	2021 Q1

PNM Resources, Inc.	Thermal Coal Criteria Breached	UNITED STATES	2021 Q1
Polski Koncern Naftowy ORLEN SA	Thermal Coal Criteria Breached	POLAND	2021 Q1
POLSKIE GORNICTWO NAFTOWE I	Thermal Coal Criteria Breached	POLAND	2018 Q4
POONGSAN CORP	Small Arms Criteria and CWR Breached	SOUTH KOREA	2007 Q4
POONGSAN HOLDINGS CORP	Small Arms Criteria and CWR Breached	SOUTH KOREA	2007 Q4
POWER ASSETS HOLDINGS LTD	Thermal Coal Criteria Breached	HONG KONG	2018 Q4
PPL CORP	Thermal Coal Criteria Breached	UNITED STATES	2018 Q4
PT ABM Investama Tbk	Thermal Coal Criteria Breached	Indonesia	2020 Q1
PT Adaro Indonesia	Thermal Coal Criteria Breached	INDONESIA	2020 Q2
PT GUDANG GARAM TBK	Tobacco Criteria Breached	INDONESIA	2017 Q4
PT HANJAYA MANDALA SAMPOERNA TBK	Tobacco Criteria Breached	INDONESIA	2017 Q4
PT Trada Alam Minera Tbk	Thermal Coal Criteria Breached	INDONESIA	2020 Q2
Public Power Corp. SA	Thermal Coal Criteria Breached	GREECE	2021 Q1
PYXUS INTERNATIONAL INC	Tobacco Criteria Breached	UNITED STATES	2019 Q2
QEP Resources Inc	Shale energy Criteria Breached	UNITED STATES	2021 Q1
Range Resources Corp.	Shale energy Criteria Breached	UNITED STATES	2021 Q1
Ratchaburi Electricity Generating Holding PCL	Mass fatalities and damage to the environment and community property	THAILAND	2019 Q4
Rattler Midstream LP	Shale energy Criteria Breached	UNITED STATES	2021 Q1
Raytheon Technologies Corp.	Small Arms Criteria Breached; GCCS Non-compliant	UNITED STATES	2020 Q3
REINET INVESTMENTS S.C.A.	Tobacco Criteria Breached	LUXEMBOURG	2018 Q4
RELANCE POWER LTD	Thermal Coal Criteria Breached	INDIA	2018 Q4
RESOURCE ALAM INDONESIA TBK	Thermal Coal Criteria Breached	INDONESIA	2018 Q4
RH International (Singapore) Corp. Pte Ltd.	Mass fatalities and damage to the environment and community property	SINGAPORE	2019 Q4
RHINO RESOURCE PARTNERS LP	Thermal Coal Criteria Breached	UNITED STATES	2018 Q4
RICHEMONT INTERNATIONAL HOLDING S.A.	Small Arms Criteria Breached	LUXEMBOURG	2019 Q2
Rosneft International Finance Ltd.	Shale energy Criteria Breached	IRELAND	2021 Q1
Rosneft Oil Co.	Shale energy Criteria Breached	RUSSIA	2021 Q1
SABIC Capital I BV	SABIC has close governance links with the government, is complicit in human rights abuses c1	NETHERLANDS	2021 Q2
Sabic Capital II BV	SABIC has close governance links with the government, is complicit in human rights abuses c1	NETHERLANDS	2021 Q1
Safran SA	Small Arms Criteria Breached	FRANCE	2020 Q4
San Miguel Corp.	Thermal Coal Criteria Breached	PHILIPPINES	2021 Q1
SARDA ENERGY & MINERALS LTD	Thermal Coal Criteria Breached	INDIA	2018 Q4
Saudi Arabian Oil Co. (Aramco)	Climate Policy Breach	SAUDI ARABIA	2020 Q1
Saudi Basic Industries Corp	SABIC has close governance links with the government, is complicit in human rights abuses c1	SAUDI ARABIA	2021 Q1
SDIC Power Holdings CO., LTD.	Thermal Coal Criteria Breached	CHINA	2021 Q1
SDIC XINJI ENERGY CO -A	Thermal Coal Criteria Breached	CHINA	2018 Q4
SEMIRARA MINING AND POWER CO	Thermal Coal Criteria Breached	PHILIPPINES	2018 Q4
Seven Generations Energy Ltd.	Shale energy Criteria Breached	CANADA	2021 Q1
Shaanxi Coal Industry Co., Ltd.	Thermal Coal Criteria Breached	CHINA	2021 Q1
Shanghai Electric Power Co., Ltd.	Thermal Coal Criteria Breached	CHINA	2020 Q2
SHANGHAI ELECTRIC POWER FINANCE LIMITED	Thermal Coal Criteria Breached	BRITISH VIRGIN	2019 Q2
SHANXI COKING CO LTD-A	Thermal Coal Criteria Breached	CHINA	2018 Q4
Shanxi Lu'an Environmental Energy Development Co Ltd	Thermal Coal Criteria Breached	CHINA	2021 Q1
SHANXI XISHAN COAL & ELEC-A	Thermal Coal Criteria Breached	CHINA	2018 Q4
Shenergy Co., Ltd.	Thermal Coal Criteria Breached	CHINA	2021 Q1
SHENHUA OVERSEAS CAPITAL	Thermal Coal Criteria Breached	British Virgin Islands	2018 Q4
Shenzhen Energy Group Co., Ltd.	Thermal Coal Criteria Breached	CHINA	2021 Q1
Shikoku Electric Power Co., Inc.	Thermal Coal Criteria Breached	JAPAN	2021 Q2
SINOPEC CAPITAL (2013) LTD.	Activities in Sudan; Health and Safety in China	HONG KONG	2007 Q4
SINOPEC KANTONS HOLDINGS LTD	Health and Safety in China	HONG KONG	2007 Q4
SK E&S Co., Ltd.	Mass fatalities and damage to the environment and community property	SOUTH KOREA	2019 Q4
SK Holdings Co Ltd	Mass fatalities and damage to the environment and community property	SOUTH KOREA	2019 Q4
SM Energy Co.	Shale energy Criteria Breached	UNITED STATES	2021 Q1
SMC Global Power Holdings Corp.	Thermal Coal Criteria Breached	PHILIPPINES	2020 Q2
Smith & Wesson Brands Inc	Small Arms Criteria Breached	UNITED STATES	2020 Q4
SOUTHERN COPPER CORP	Labour Conflict in Mexico	PERU	2010 Q4
Southern Power Co.	Thermal Coal Criteria Breached	UNITED STATES	2021 Q1
Southwestern Energy Co.	Shale energy Criteria Breached	UNITED STATES	2021 Q1
Sportsman's Warehouse Holdings Inc	Small Arms Criteria Breached	UNITED STATES	2021 Q2
STURM, RUGER & COMPANY, INC.	Small Arms Criteria Breached	UNITED STATES	2018 Q4
SUMITOMO CHEMICAL COMPANY, LIMITED	Thermal Coal Criteria Breached	JAPAN	2019 Q2
Suncor Energy Inc.	Oil sands Criteria Breached	CANADA	2021 Q1
Swedbank AB	Serious deficiencies in its AML measures	SWEDEN	2020 Q3
SWEDISH MATCH AB (PUBL)	Tobacco Criteria Breached	SWEDEN	2017 Q4
TAHOE RESOURCES INC	Human Rights Violations in Guatemala	UNITED STATES	2013 Q3
TAIWAN CEMENT CORP.	Thermal Coal Criteria Breached	TAIWAN	2019 Q2
TAKATA CORP	Quality and Safety	JAPAN	2016 Q3
Talen Energy Supply LLC	Thermal Coal Criteria Breached	UNITED STATES	2021 Q2
Tata Communications Ltd.	CWR Criteria Breached	INDIA	2021 Q1
Tata Consultancy Services Ltd.	CWR Criteria Breached; GSS Non-compliant	INDIA	2021 Q1
Tata Elxsi Ltd.	CWR Criteria Breached	INDIA	2021 Q1
Tata Investment Corp. Ltd.	CWR Criteria Breached; GSS Non-compliant	INDIA	2021 Q1
Tata Motors Ltd.	CWR Criteria Breached	INDIA	2021 Q1
TATA POWER CO LTD	Thermal Coal Criteria Breached	INDIA	2018 Q4
TATA POWER CO LTD/THE	Controversial Weapons Criteria Breached	INDIA	2018 Q2
Tata Steel Ltd.	CWR Criteria Breached; Thermal Coal Criteria Breached	INDIA	2021 Q1
TAURON POLSKA ENERGIA SA	Thermal Coal Criteria Breached	POLAND	2018 Q4
Teck Resources Ltd	Oil sands Criteria Breached	CANADA	2021 Q1
Teine Energy Ltd.	Shale energy Criteria Breached	CANADA	2021 Q1
Tellurian Inc.	Shale energy Criteria Breached	UNITED STATES	2021 Q1
Tenaga Nasional Bhd	Thermal Coal Criteria Breached	MALAYSIA	2021 Q1
Teva Pharmaceutical Finance Co. BV	Faces allegations of anti-competitive practices and were involved in cases of corruption in se	CURACAO	2021 Q1
Teva Pharmaceutical Finance Co. LLC	Faces allegations of anti-competitive practices and were involved in cases of corruption in se	UNITED STATES	2021 Q1

Teva Pharmaceutical Finance Netherlands III B.V.	Faces allegations of anti-competitive practices and were involved in cases of corruption in se	NETHERLANDS	2021 Q1
Teva Pharmaceutical Industries Limited	Faces allegations of anti-competitive practices and were involved in cases of corruption in se	ISRAEL	2021 Q1
Thales	Controversial Weapons Criteria Breached	FRANCE	2019 Q4
The AES Corp.	Thermal Coal Criteria Breached	UNITED STATES	2021 Q1
The Hub Power Co. Ltd.	Thermal Coal Criteria Breached	PAKISTAN	2021 Q1
The Israel Electric Corp. Ltd.	Thermal Coal Criteria Breached	ISRAEL	2021 Q1
The Okinawa Electric Power Co., Inc.	Thermal Coal Criteria Breached	JAPAN	2021 Q1
The Southern Co.	Thermal Coal Criteria Breached	UNITED STATES	2021 Q1
Titan Co. Ltd.	CWR Criteria Breached	INDIA	2021 Q1
TNB Global Ventures Capital Bhd.	Thermal Coal Criteria Breached	MALAYSIA	2021 Q1
TOBA BARA SEJAHTRA TBK PT	Thermal Coal Criteria Breached	INDONESIA	2018 Q4
TOKYO ELECTRIC POWER CO INC	Nuclear Disaster Japan	JAPAN	2011 Q3
TOP ENERGY CO LTD SHANXI-A	Thermal Coal Criteria Breached	CHINA	2018 Q4
TOSHIBA CORP	Accounting irregularities	JAPAN	2016 Q2
TPI Polene Power Public Co., Ltd.	Thermal Coal Criteria Breached	THAILAND	2021 Q1
TPI Polene Public Co. Ltd.	Thermal Coal Criteria Breached	THAILAND	2021 Q1
TRANSALTA CORP	Thermal Coal Criteria Breached	CANADA	2018 Q4
Traverse Midstream Partners LLC	Shale energy Criteria Breached	UNITED STATES	2021 Q1
Trent Ltd	Controversial Weapons Criteria Breached	INDIA	2021 Q2
TURNING POINT BRANDS	Tobacco Criteria Breached	UNITED STATES	2018 Q4
Ube Industries, Ltd.	Thermal Coal Criteria Breached	JAPAN	2019 Q4
UGI Corp	Thermal Coal Criteria Breached	UNITED STATES	2021 Q1
UGI Energy Services LLC	Shale energy Criteria Breached	UNITED STATES	2021 Q1
Uniper SE	Thermal Coal Criteria Breached	GERMANY	2021 Q1
UNITECH LIMITED	Quality and safety	INDIA	2017 Q3
UNIVERSAL COAL PLC - CDI	Thermal Coal Criteria Breached	BRITAIN	2018 Q4
UNIVERSAL CORP	Tobacco Criteria Breached	UNITED STATES	2019 Q2
VALE OVERSEAS LIMITED	Mass fatalities and damage to the environment and community property	CAYMAN ISLANDS	2019 Q2
VALE S.A.	Mass fatalities and damage to the environment and community property	BRAZIL	2019 Q2
VECTOR GROUP LTD.	Tobacco Criteria Breached	UNITED STATES	2017 Q4
VECTREN CORP	Thermal Coal Criteria Breached	UNITED STATES	2018 Q4
VEDANTA LTD	Thermal Coal Criteria Breached	INDIA	2018 Q4
VEDANTA RESOURCES PLC	Thermal Coal Criteria Breached	INDIA	2018 Q4
Vertex Aerospace Services Corp.	Small Arms Criteria Breached	UNITED STATES	2020 Q3
Viper Energy Partners LP	Shale energy Criteria Breached	UNITED STATES	2021 Q1
VISA STEEL LTD	Thermal Coal Criteria Breached	INDIA	2018 Q4
VISTA OUTDOOR INC	Small Arms Criteria Breached	UNITED STATES	2018 Q4
Voltas Ltd.	CWR Criteria Breached	INDIA	2021 Q1
WALMART INC.	Small Arms Criteria Breached	UNITED STATES	2018 Q4
WASHINGTON H. SOUL PATTINSON	Thermal Coal Criteria Breached	AUSTRALIA	2018 Q4
WEC Energy Group, Inc.	Thermal Coal Criteria Breached	UNITED STATES	2021 Q1
WELLS FARGO & COMPANY	Business Ethics Incidents	UNITED STATES	2017 Q1
WESCOAL HOLDINGS LTD	Thermal Coal Criteria Breached	SOUTH AFRICA	2018 Q4
WESTMORELAND COAL CO	Thermal Coal Criteria Breached	UNITED STATES	2018 Q4
WESTMORELAND RESOURCE PARTNE	Thermal Coal Criteria Breached	UNITED STATES	2018 Q4
WHA Utilities & Power Public Co. Ltd.	Thermal Coal Criteria Breached	THAILAND	2021 Q1
Whitecap Resources Inc.	Shale energy Criteria Breached	CANADA	2021 Q1
WHITEHAVEN COAL LTD	Thermal Coal Criteria Breached	AUSTRALIA	2018 Q4
Wholesale Generating Co. 2 PJSC	Thermal Coal Criteria Breached	RUSSIA	2021 Q1
WINTIME ENERGY CO LTD-A	Thermal Coal Criteria Breached	CHINA	2018 Q4
Xcel Energy Inc.	Thermal Coal Criteria Breached	UNITED STATES	2021 Q1
XXL ASA	Small Arms Criteria Breached	NORWAY	2018 Q4
YANCOAL AUSTRALIA LTD	Thermal Coal Criteria Breached	AUSTRALIA	2018 Q4
YANCOAL INTERNATIONAL RESOURCES DEVELOPMENT CO., LTD.	Thermal Coal Criteria Breached	HONG KONG	2019 Q2
YANGQUAN COAL INDUSTRY GRP-A	Thermal Coal Criteria Breached	CHINA	2018 Q4
YANZHOU COAL MINING CO LTD	Thermal Coal Criteria Breached	CHINA	2019 Q2
ZESPOL ELEKTROWNI PATNOW ADA	Thermal Coal Criteria Breached	POLAND	2018 Q4
ZHEJIANG ZHENENG ELECTRIC-A	Thermal Coal Criteria Breached	CHINA	2018 Q4
ZUIJIN MINING GROUP CO LTD	Human Rights violations in Peru	CHINA	2009 Q1

#### Governments Bonds from the following Countries

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