

DFIN

ESG Regulatory Report

July 15, 2021

DFIN provides real-time access to the rapidly changing disclosure landscape

Corporations are beginning to disclose Environmental, Social and Governance (ESG) data in their Securities and Exchange Commission, (SEC) compliance filings. The SEC recently introduced several new programs to better understand the rapidly changing disclosure needs facing investors surrounding climate risk and ESG. This create an opportunity to analyse SEC disclosure on the evolving trends on climate and ESG reporting.

EDGAR Pro is the research and benchmarking platform designed to help you uncover intelligence from the rapidly evolving SEC filing landscape.

To stay abreast of this rapidly evolving disclosure landscape, our ESG weekly report, created with EDGAR Pro, provides examples, showing who is currently reporting ESG data to the SEC and how they are incorporating the data into their SEC filings.

Focus on – Diversity, Equity & Inclusion

Diversity often focuses on the differences in a group, often referred to as “the mix”. This can include diversity of gender/sexual orientation, age, race, ethnicity and the hard to pin down “cognitive” diversity. In the case of public companies, relevant groups include the Board, C-Suite, senior managers, and employees/workforce at large. *Equity* refers to fairness/equal opportunity to participate and succeed. *Inclusion* is the deliberate act of welcoming diversity and creating an environment where diverse people and perspectives can interact, thrive and succeed, working as a collective whole.

EXAMPLE # 1:

Registrant: Ally Financial

Ticker: ALLY

Topic: ESG – Diversity, Equity & Inclusion

Document: Proxy Statement


FYE: 12/31/2020

Corporate Social Responsibility

Diversity and Inclusion

Strengthening a Culture that Promotes Belonging


We believe the best ideas come from a collective mixture of different voices and perspectives. We are an equal opportunity employer, and we strive for an inclusive work environment where all backgrounds, experiences, interests, viewpoints, and skills are respected, appreciated, and encouraged consistent with our culture. The reason we do this is straightforward – it's the right thing to do for our employees, so they can bring their authentic selves to work every day and innovate for our customers. The results are striking – our latest company-wide engagement survey in 2020 was responded to by 82% of our employees and had an average employee engagement score of 87 out of 100, as compared to the financial services industry benchmark of 72 out of 100, as measured by our third-party provider. Notably, our score elevated us to the Top 10% of all companies benchmarked, regardless of industry.




Passionate About Diversity & Inclusion

Ally CEO Jeff Brown was honored as Thurgood Marshall College Fund CEO of the Year in 2019 for his efforts in advancing D&I in the workplace as a competitive and societal issue. These efforts included being one of the first 150 members of the CEO Action for Diversity & Inclusion pledge.


**Nearly
40%**
of employees
are members
of an Employee
Resource Group






42%

of our directors are
women and persons of
color




56%

of our senior leadership
team are women and
persons of color



32%

of women and persons of
color were promoted or
moved into new roles to
advance their career in 2020



90%

Retention rate for
women and persons
of color in 2020


**Top
10%**
Engagement versus all
companies regardless
of industry, as measured
by our third-party provider
in 2020

Drawn together with Shared Interests

Our Employee Resource Groups (ERGs) are integral to D&I at Ally. They help build an atmosphere where people feel comfortable sharing their individuality and unique experiences where all employees feel heard. Membership is voluntary and open to all employees, whether they identify with the ERG or view themselves as an "ally" to the group.

Our ERGs create open forums for teammates who share common interests to meet and support one another. In 2020, ERGs were critical in connecting employees in our virtual environment, providing important channels for feedback and insights. Approximately 4,000 employees participated in "Let's Talk about It" sessions aimed at bridging understanding on difficult topics through important conversations.

- Aliados ALLYs
- Asian/Middle Eastern ALLYs
- Pride ALLYs
- Diverse Abilities ALLYs
- Generational ALLYs
- Black/African American ALLYs
- Veteran ALLYs
- Women ALLYs



Moguls in the Making

In 2020, we hosted our second annual Moguls in the Making competition, which is an annual competition that helps foster opportunities for young, up-and-coming entrepreneurs from our nation's publicly-supported historically black colleges and universities. The competition was held virtually with 50 students working in teams to develop a business plan that took into account COVID-19 and social equity. These experiences help develop skills for future careers, including for the over 20 students who have been offered internships with Ally in 2020. Since inception of the program, 29 Moguls participants have held internships or full-time positions at Ally.

EXAMPLE # 2:

Registrant: AMN Healthcare

Ticker: AMN

Topic: ESG - Diversity, Equity & Inclusion

Document: Proxy Statement

FYE: 12/31/2020

Corporate Governance

SUSTAINABILITY REPORTING

We have reported on our CSR programs since 2016 and each year we strive to report more robustly. Transparency and accountability surrounding our CSR infrastructure and key risk is critical to maintaining the trust and support of our stakeholders and demonstrates the effective leadership and governance principles that our shareholders expect. Last year, we responded to our shareholders' call for companies to report more substantively on ESG risks by publishing new reports that align with frameworks established by the Task Force on Climate-Related Financial Disclosures ("TCFD") and the Sustainability Accounting Standards Board ("SASB"). The Company's most recent SASB and TCFD disclosures can be found on the Company's website and are incorporated into our 2020 Corporate Social Responsibility Report at the following link: <https://www.amnhealthcare.com/corporate-social-responsibility/>.

Our TCFD disclosure details our approach to governance, strategy, risk management and targets surrounding climate change, including specific risks and opportunities associated with the transition to a lower-carbon economy. Our SASB disclosure addresses the sustainability issues identified by SASB as most likely to impact the operating performance or financial condition of the typical company in our industry regardless of location. As part of the professional and commercial services industry, our SASB disclosure discusses our approach to managing risks and opportunities related to (1) data security, (2) professional integrity and (3) workforce diversity and engagement.

Our commitment to building and sustaining an industry-leading CSR program is further demonstrated by our integration of the United Nations Sustainable Development Goals ("SDGs") into our enterprise-wide CSR strategy beginning in 2021. To accomplish this, the Company's leadership responsible for overseeing its ESG infrastructure evaluated each of the 17 SDGs and identified the SDGs illustrated below as the SDGs most aligned with the Company's long-term strategy.

8 DECENT WORK AND ECONOMIC GROWTH


9 INDUSTRY, INNOVATION AND INFRASTRUCTURE


10 REDUCED INEQUALITIES


11 SUSTAINABLE CITIES AND COMMUNITIES


Beginning in 2022, we will begin disclosing our CSR long-term strategy, our targets and metrics and communicating our progress towards achieving these goals.

OUR HUMAN CAPITAL MANAGEMENT STRATEGY

A foundational element of our ESG infrastructure is our human capital management strategy. Our healthcare professionals and team members are key assets that we believe allow us to deliver long-term sustainable value to our stakeholders and the Board and management team strongly believe that AMN's future success largely depends on the caliber of our talent and the full engagement and inclusion of our team members and healthcare professionals. With this objective in mind, we identify and monitor a variety of risks and opportunities that are central to our long-term strategic objectives, such as our diversity, equality and inclusion program, team member engagement, professional development and employee health and safety to ensure we are delivering on our commitment to promote a purpose-driven and values-based culture that is centered around business ethics and professional integrity.

AMN HEALTHCARE PROMOTES INCLUSION IN THE:

Workforce

Workplace

Marketplace

DIVERSITY, EQUALITY AND INCLUSION

Social and racial justice was an important issue in 2020 and continues to be at the top of mind of many Americans in 2021. Our diversity, equality and inclusion philosophy is grounded in the belief that we should respect all voices, seek diverse perspectives, and succeed when we act together as a positive force for all humanity. We have an opportunity to influence each other, our industry, and our communities by fostering a diverse team. We are committed to actively engaging in building an organization and society where equality is the norm, equity is achieved, and inclusion is universal so that we may all thrive. While AMN has long been known as a champion of diversity, equality and inclusion, we accelerated our efforts in response to the COVID-19 public health crisis and the racial injustice that transpired in 2020 to make a positive impact on our workplace, marketplace and the communities we serve. Justice is fundamental to our core values, so we took specific actions to demonstrate our commitment to diversity, equality and inclusion.

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EXAMPLE # 3:

Registrant: T-Mobile US, Inc.

Ticker: TMUS

Topic: ESG – Diversity, Equity & Inclusion

Document: Proxy Statement

FYE: 12/31/2020

Corporate Governance at T-Mobile

Despite the difficult retail environment in 2020, T-Mobile delivered for our customers. We leveraged digital options such as virtual retail plus mobile and curbside fulfillment to create a safe and convenient environment for customers to drop in, chat with a Mobile Expert, make upgrades, and get the latest deals. We continue to monitor the Pandemic and its impacts, keeping in mind the critical role we play in connecting customers to their world throughout this extraordinary time.

■ **INVESTING IN OUR PEOPLE** ■

Diversity, Equity and Inclusion

We are a company of approximately 75,000 diverse and amazing employees, and it's this diversity that fuels the Un-carrier spirit. Our ability to continue to deliver growth and profitability would be impossible without our employees, and the challenges of 2020 brought to the forefront just how valuable our team is. We are a stronger company and can better serve our customers when we bring together the unique talents, backgrounds and perspectives of every person on our team.

Metric	Percentage
People of Color	59%
People of Color Who are Managers	48%
People of Color Who are Executives	21%
Women	41%
Women Who are Managers	36%
Women Who are Executives	31%

* Data shown above is as of June 2020.

But we are not standing still. We recognize that diversity, equity and inclusion (DE&I) will touch every aspect of T-Mobile's future as a bigger and better company, and it will take bold action from all of us to get there. We are on a mission to embed DE&I across everything we do. We refer to this mission as our Equity in Action Plan, and it includes our investment in our people, the products and services we offer, and how we serve our communities. This strong commitment to DE&I plays an integral role in our culture, which includes a \$25 million investment in our community over the next five years.

We continue to complete initiatives in support of this Equity in Action Plan and in other spaces where we see opportunities to make a positive impact. We are focused on creating career pathways for those who serve our country, with a mission to hire 10,000 veterans and military spouses by 2023. In February 2021, we committed to donate \$1 million to the Thurgood Marshall College Fund, fostering a partnership to launch the Magenta Scholars Program that provides scholarships for students at historically black colleges and universities.

We encourage every employee to be part of this effort and to be exactly who or what they want to be. We create a sense of belonging through our six Employee Resource Groups (with four sub-affinity groups) and more than 50 DE&I chapters across the United States and Puerto Rico.

NEARLY 40% EMPLOYEE INVOLVEMENT

Employee Resource Group	Members
Women and Allies Network	17,876
Accessibility Community at T-Mobile	11,418
Veterans and Allies Network	12,263
Multicultural Alliance	19,582
Multigenerational Network	13,491
PRIDE	13,586

We strive to create an environment where every employee feels valued for who they are and equipped to offer the best care for our customers. In 2020, T-Mobile was recognized with 44 national, regional and local awards and recognitions that named us a great place to work, including Fortune's 100 Best Companies to Work For in each of the past four years.

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PROXY STATEMENT 2021 ■ T-Mobile

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