RI Super Study 2019 – Supplementary Appendices

Request for Information (RFI) and Assessment Framework Scorecard

A. General Information

1. Name of Organisation (RSE)
2. What is / are the trading names of the funds covered by this survey?
3. The reporting year for this request for information is January 1, 2018 – December 31, 2018. If you have provided data from activities outside this period, please list here.
4. Indicate your total AUM at the end of your reporting year, excluding subsidiaries you have chosen not to report on, and advisory/execution only assets (AUD millions).
5. How many members or underlying beneficiaries, members, clients or customers do you have?
6. Please indicate what type of superannuation fund your organization is:
   A) Corporate
   B) Industry
   C) Retail
   D) Public Sector
   E) Non-regulated
   F) Other
7. Select the category that best describes the RI positioning of your super fund:
   A) ESG Integrated Fund
   B) ESG Integrated Fund with RI option/s
   C) ESG Integrated Fund with whole of fund exclusion/s
   D) ESG Integrated Fund with whole of fund exclusion/s and SRI option/s
   E) Traditional Fund
   F) Traditional Fund with RI option/s
   G) Traditional Fund with whole of fund exclusion/s
   H) Traditional Fund with whole of fund exclusion/s and RI option/s
   I) Ethical or Values-based fund

B. RI Strategy by Asset Class

8. What percentage (%) of total fund $AUM is subject to one or more RI Strategy/ies?
9. Complete column D, providing your best estimate to show your fund’s overall strategic asset allocation as at December 31, 2018. Complete columns F & G to indicate the Primary and Secondary RI Strategies applied to each Asset Class. Complete column E with your best estimate at what percentage (%) of each Asset Class $AUM is subject to the stated RI Strategy/ies?

C. RI Across Fund & Options

10. Question 10 provides a snap-shot of the different RI Approaches adopted by your fund across the whole fund including default super and particular SRI options you have available to beneficiaries, members, clients. In the area coloured in light orange, we are seeking a high-level overview of the primary and secondary RI strategies applied to your whole fund and any options offered. In the darker orange area, we ask which of the RI strategies are applied to your SRI options and the default super if applicable. The final gray columns we ask for the performance of these options net of fees as at December 31 2018 over 1, 3 and 5 years.

1. Accountability & Governance.

11. How is the fund's Investment Beliefs informed by key stakeholder input? (select the primary source) (available score = 2)
   A) via Trustees as representatives of stakeholders
   B) via systematic and frequent direct engagement (e.g. call centre issues review, member survey, other)
   C) via ad hoc or occasional direct engagement (e.g. via call centre, or member survey, or other)
12. Are the fund's key stakeholders mentioned in the Investment Beliefs and the overall fund Strategy?  
   (available score = 2)

13. Are stakeholders’ responsible investing interests surveyed to inform strategy development? If yes, how?  
   (available score = 2)
   A) Regular monitoring of issues raised at call centres as well as elicitation of member satisfaction and interests via survey at least annually.
   B) Occasional survey of member satisfaction and interests.
   C) At least annual survey of member satisfaction and interests.
   D) No periodic survey of members.
   E) Other (please specify)

14. How is RI included in the fund's Investment Beliefs or Strategy? i.e. vision/mission/strategy/investment beliefs?  
   (available score = 1)
   A) Implicitly in the investment beliefs and/or strategy
   B) Explicitly in the investment beliefs and/or strategy/Charter
   C) Explicitly in a stand-alone RI policy
   D) Through how and what we say on our website (or other public narrative)
   E) Other (specify)

15. Is your commitment to / belief in RI (e.g. standalone RI policy or integrated into overall super fund policy) available on your website?  
   (available score = 1)

16. Provide the URL for the item/s selected above; or, if not published, attach PDF when you submit this completed questionnaire.

17. If answered C in Question 14, is the RI policy signed off by Trustees / CEO?

18. Is there a formal process in place for the review of the option you selected in Question 14 by Trustees/CEO?  
   (available score = 1)

19. Is there board or trustee-level oversight/accountability for RI? E.g. ESG sub-committee or dedicated secretariat.  
   (available score = 1)

20. Provide brief details of the nature of board-level oversight and accountability.

21. Is there a formal, systematic process for measuring RI in alignment with the super fund’s strategy?  
   A) Yes, formal & comprehensive  
   B) Yes, formal & brief  
   C) Yes, Informal & ad hoc  
   D) No  
   E) Other (please specify)

22. At which levels/functions is the successful delivery of RI strategy considered as part of the satisfactory achievement of staff roles and responsibilities?  
   (available score = 3)
   A) Board  
   B) Investment Committee  
   C) Portfolio Managers  
   D) Analysts/Investment Staff  
   E) Member/Customer Relations  
   F) Other (please specify)

23. Do Trustees actively consider ESG / RI issues - including consideration of climate risk?  
   (available score = 2)
   A) Yes, it's a standing item on each Board meeting's agenda  
   B) Yes, they are systematically considered during dedicated Trustee sub-committee meetings  
   C) Yes, considered by Trustee Board at least annually  
   D) Yes, considered by Trustee Board on an ad hoc basis / as matters arise  
   E) No
24. Indicate the number of FTE people who spend more than 50% of their time on the delivery of RI.

25. What % of AUM is internally managed?

26. Provide any further information you would like to share with us regarding RI Accountability and Governance at your super fund.

27. Attach any documents regarding RI Accountability and Governance at your super fund that you would like to include.

D. RI Commitment

28. Provide a summary of your fund’s Responsible Investment Beliefs.

29. Does your investment and/or RI policy include specific RI targets? (e.g. Percentage of AUM to be fully ESG integrated, portfolio carbon targets (to meeting <350ppm), voting targets).

   (available score = 3)

30. Indicate the share of AUM covered by your super fund’s RI commitments (i.e. policy).

   (available score = 3)

31. What are the main responsible investment strategies employed within your super fund at a whole-of-fund level? (select up to two)

   (available score = 2)
   A) Negative/exclusionary screening
   B) Positive/best-in-class screening
   C) Screening based on international norms
   D) Integration ESG factors into financial analysis
   E) Sustainability-themed investing (e.g. clean energy, sustainable agriculture, green property, clean energy, low carbon tilts
   F) Impact/Community investing
   G) Active Ownership - engagement & active voting

32. Explain why the primary RI strategy deployed by your super fund best delivers the super fund’s Investment Beliefs. (e.g. ESG integration provides superior risk adjusted returns for members) (e.g. Negative/exclusionary screening provides best alignment with member interests).

33. Please attach any documents you would like to include.

E. RI Implementation

Long-term value investing

34. Does the consideration of RI influence or inform your Strategic Asset Allocation?

35. How does your RI policy and framework inform your Strategic Asset Allocation?

Implementation - Engagement

36. Indicate whether your organisation has a formalised process for engagement (such as a policy)?

   (available score = 1)

37. Indicate if you define (or contribute to defining) specific objectives for your engagement activities.

   (available score = 2)
   A) Yes for all engagement activities
   B) Yes, for majority of engagement activities
   C) Yes, for minority of engagement activities
   D) No

38. Indicate whether your super fund participates in collaborative engagements.

   (combined with Q41, available score = 1)

39. Indicate the collaborative organisations and/or initiatives in which your super fund participated for the purposes of ENGAGEMENT during the reporting year.

   A) PRI
   B) RIAA
   C) ACSI
   D) IGCC
40. If you use an external provider for engagements, indicate what role you play in engagements that your service provider conducts on your behalf.
   A) Comprehensive (i.e. direct participation in agenda setting, consistent meeting attendance, post-engagement monitoring and internal reporting)
   B) Moderate (i.e. Participation in agenda-setting, frequent meeting attendance, post-engagement reports reviewed, casual internal reporting)
   C) Basic (i.e. Little participation in agenda-setting, no meeting attendance, passive post-engagement reports reviewed)
   D) Ad hoc/None (i.e. No participation in agenda-setting, ad hoc or no participation in meetings and post-engagement follow-up)
   E) Do not use external provider

41. Indicate whether your fund undertakes direct engagement activities. (combined with Q38, available score = 1)

42. Indicate if you monitor the actions that companies take following your engagements activities. (available score = 1)
   A) Yes, in all cases
   B) Yes, in the majority of cases
   C) Yes, in the minority of cases
   D) No

43. Do you keep reliable data on the outcomes of your engagement and produce an engagement report? (Including where provided by investment managers or external providers). (available score = 2)

44. Do you include data from engagements conducted by investment managers or external providers in your engagement report? (available score = 1)
   A) Yes, integrated into our own engagement report
   B) Yes, we provide link to investment manager or external provider report
   C) No reporting

45. Does your organisation publicly disclose information on its engagements? (available score = 2)
   A) Yes, always
   B) Yes, sometimes
   C) Never
   D) Other

46. Provide any leading practice case studies or comments regarding your engagement practices that you wish to include.

47. Upload any documents regarding engagement reporting you wish to include.

Advocacy

48. Is your fund actively involved in advocating for more responsible financial markets? (available score = 1)

49. Which of the following models are used in your fund's approach to advocacy?
   A) Direct Advocacy
   B) Collaborative initiatives
   C) Other

50. Select the collaborative organisations and/or initiatives of which your organisation is a member or in which it participated during the reporting year.
   A) PRI
   B) RIAA
   C) ACSI
   D) IGCC
   E) ESG RA
51. Provide some of the key issues on which your fund's advocacy activities have been focused.

**Voting**

52. Indicate whether your organisation has a formal voting policy.

**(available score = 1)**

53. Indicate whether this voting policy is public.

**(available score = 1)**

54. Upload your fund's voting policy.

55. Indicate what issues your voting policy covers.

A) Conflicts of interest  
B) Prioritisation of voting activities  
C) Transparency  
D) Decision-making processes  
E) Environmental factors  
F) Social factors  
G) Governance factors - with particular focus on director independence and remuneration  
H) Governance factors - general  
I) Securities lending process  
J) Other (please specify)

56. Over the relevant period covered by this data, approximately what percentage of votes were made against the board, proxy adviser and both combined?

**(available score = 1)**

A) made against Board (0%)  
B) made against Board (1% - 5%)  
C) made against Board (6% - 10%)  
D) made against Board (11%+)  
E) made against proxy voting adviser (0%)  
F) made against proxy voting adviser (1% - 5%)  
G) made against proxy voting adviser (6% - 10%)  
H) made against proxy voting adviser (11%+)  
I) made against both (0%)  
J) made against both (1% - 5%)  
K) made against both (6% - 10%)  
L) made against both (11%+)

57. Do you make your voting records public?

**(available score = 2)**

A) Yes (after)  
B) Yes (before)  
C) Yes, via our proxy voting service provider  
D) No

58. Upload any documents regarding voting you would like to include.

**ESG Integration**

59. Thinking about the integration of ESG across your super fund, indicate whether ESG factors are reviewed by your internal investment teams.

A) We systematically review the potential significance of ESG factors and investigate them accordingly  
B) We occasionally review the potential significance of ESG factors and investigate them accordingly  
C) We require our external managers to review ESG factors  
D) We do not review ESG factors

60. Tell us about the way that you consider ESG factors and how they are taken into account the delivery of the super fund's investment services?
61. Indicate which processes your organisation uses to ensure that ESG integration is based on a robust analysis.
   A) Commissioning comprehensive ESG research
   B) Sourcing comprehensive ESG research
   C) Use of accredited company ESG ratings/score-card
   D) Use of ESG Benchmark
   E) External manager ESG information
   F) Use of ESG database
   G) Dedicated ESG research/data secretariat
   H) Requiring our external managers to demonstrate that they are using robust ESG sources or data
   I) Other (please specify)

62. To what extent is your external manager responsible for ESG information for your fund?
   A) Fully responsible
   B) Largely responsible but backed up by internally sourced ESG information
   C) Partially responsible
   D) Not responsible at all

63. Does the super fund employ specialist ESG staff?  
   (available score = 1)

64. If YES in Question 63, in what place does their information input to the investment decision making process?
   A) Participate in manager review meetings
   B) Influence manager decisions
   C) Contribute to internal investment team equities analysis
   D) Participate in asset class reviews
   E) Other (please state)

65. If NO in Question 63, how is ESG information input and integrated into the investment decision making process?
   A) Contributes to manager selection
   B) Influences manager selection
   C) Contributes to asset class reviews
   D) Imbedded within internal investment team's analysis
   E) Other (please state)

Asset Consultant selection and monitoring

66. On what areas of RI does your asset consultant provide services to your organisation?
   A) ESG capabilities of managers
   B) ESG thematic research and information
   C) Specific RI thematic or issues-based advice (such as impact investments, stranded assets risk etc.)
   D) Measurement and reporting against ESG/ RI targets (e.g. Carbon intensity or transition risk in portfolio)
   E) other relevant to RI (please specify)
   F) Don't use asset consultants in selection and monitoring of underlying managers or in the provision of advice related to ESG matters

67. Does your asset consultant have expertise in RI?
   A) Yes, comprehensively
   B) Some
   C) Little
   D) None
   E) N/A

68. Does your fund conduct ongoing dialogue and monitoring of asset consultant regarding RI issues?
   A) Yes, formal process.
   B) Yes, casually
   C) Ad hoc/not at all

69. Does your asset consultant provide reporting on RI outcomes (ESG a factor in manager review and reporting of manager performance by asset consultant)?
   A) Yes, formal process.
Manager selection and monitoring
70. Does your organisation and/or your investment consultant do any of the following in the manager selection process for listed equity and/or fixed income? (available score = 3)

A) Discuss minimum responsible investment expectations that managers must meet
B) Discuss the type of ESG reporting you expect
C) Assign specific weighting to ESG factors in your manager evaluation
D) Discuss with managers how ESG factors have impacted specific investment decisions and, when relevant, stock or portfolio performance
E) Discuss the role managers have played in influencing investee entities’ ESG practices and performance
F) Discuss whether the manager can deploy the asset owner’s proprietary voting policy or aligning its voting policy with the asset owner’s investment beliefs and strategy.
G) Look for external RI certification, qualifications of individuals etc. in the consideration of the selection of external managers.
H) Other (please specify)

71. Is ESG reporting explicitly required as part of standard IMAs with external managers? (available score = 2)

A) Yes, across all IMAs
B) Yes, across some asset classes, such as equities managers
C) No

72. Indicate (if relevant) which of the following RI considerations your organisation typically includes in investment management agreements/contracts for your listed equity and/or fixed income.

A) Acting in accordance with fund’s RI policy, strategy and reporting requirements
B) Incorporation of specific or general ESG factors into investment decision-making
C) Acting in accordance with fund engagement and voting policy
D) Requirement for ESG analysis, monitoring and reporting
E) None of the above
F) Other (please specify)

73. Indicate whether managers are evaluated on their performance in delivering on the above RI considerations. (available score = 2)

A) Yes, formally and periodically
B) Yes, informally and periodically
C) Yes, ad hoc

74. What percentage of international equities is passive or enhanced-passive managed funds?

A) 0%
B) 1% - 5%
C) 6% - 10%
D) 11% - 20%
E) 21% +

75. If you answered C) - E) in Question 74, what strategies are employed to mitigate the absence of ESG considerations in the portfolio?

76. Attach the most relevant document you would like to provide regarding performance management of managers (e.g. investment management agreements, contracts).

Values Investing
77. Do you have any screens or exclusions explicitly applied across the entire fund? (available score = 1)

78. If yes in 77, which of the following exclusions are applied across the entire fund?

A) Alcohol
B) Animal cruelty
C) Armaments
D) Cannabis (recreational)
E) Environmental degradation (incl: old growth logging, palm oil)
F) Fossil fuels (to some degree)
G) Gambling
H) Genetic engineering
I) Human rights violations
J) Labour rights violations
K) Nuclear energy (including uranium mining)
L) Pornography
M) Predatory lending
N) Sugar - predatory marketing
O) Tobacco
P) Other (please specify)

79. In relation to fund-wide responsible investing strategies, do these relate to, or are informed by international conventions or norms? If so, please select from the relevant options below:
   A) UN Global Compact (10 Principles)
   B) UN Guiding Principles on Business and Human Rights
   C) Principles for Responsible Investment
   D) Universal Declaration of Human Rights
   E) International Bill of Human Rights
   F) International Labor Organization Conventions
   G) United Nations Convention Against Corruption
   H) OECD Guidelines for Multinational Enterprises
   I) Ottawa Treaty on Land Mines
   J) Cluster Munitions Convention
   K) Sustainable Development Goals
   L) UN Convention of Rights of the Child
   M) UN Framework Convention on Climate Change / Paris Accord
   N) The Bible/or other religious script
   O) Other (please specify)
   P) None of the above

80. Do you offer any RI investment options to your members, customers or beneficiaries? List. (available score = 1)

81. Have RI investment options or fund-wide exclusions been informed by your members, customers or beneficiaries and your broader RI strategy? (available score = 1)

82. If yes in 81, explain how this is undertaken.

Impact / Sustainability-themed investing (if relevant)

83. Does your fund have a specific allocation to impact or sustainability-themed investment? (may include renewable energy, green property, social bonds etc.) (available score = 1)

84. If so, what AUM is allocated to impact investing?

85. Describe the key impacts that your impact investing allocation aim to achieve.

86. Other than the above, describe whether your fund has investments across any asset classes that has a measurable social or environmental outcome?

87. If so, what is the total AUM and what are the assets? (AUD, mil).

F. MEASUREMENT & OUTCOMES

88. What are your super fund's key successes and challenges in measuring performance against RI/ESG targets and/or in alignment with its RI Strategies?

89. Indicate whether the organisation sets targets for the performance of their RI strategy outcomes. (available score = 2)
   A) Yes, we set targets across most areas of our investment activities
B) Yes, we do have targets set for at least one of our outcome areas, such as engagement, impact investment etc.
C) No, we don’t have targets set for the non-direct outcome of our investment activities.

90. What targets, if any, are in place to measure the success of RI in achieving objectives in the following areas:

(available score = 4)
A) Alignment with fund's RI Policy
B) Environmental objectives
C) Social objectives
D) Governance objectives
E) Other objectives

91. Is there a process in place for reporting against the above measures?
(available score = 4)
A) Yes, Internally & Externally
B) Yes, internally only
C) No

92. Thinking about internal operation of your fund's RI strategies, what ways does the super fund track performance and the outcomes of RI strategies? Include any metrics used.

93. Does your super fund seek external verification regarding RI performance and outcomes?
(available score = 2)
A) Yes, we put ourselves forward for external review and assessment
B) Yes, we engage an independent assurance provider who provides a report to management
C) No do not put ourselves forward for review and assessment

94. Please attach any documents you would like to include.

G. TRANSPARENCY & RESPONSIVENESS

95. Is your RI policy or your fund’s focus on RI visible on key website sections?
(available score = 1)
A) Yes, high levels of transparency and stakeholder engagement on website and public platforms
B) Yes, reasonable level of information about RI and opportunities for stakeholder feedback
C) No, there is not much in the way of information about RI or feedback options

96. Through which vehicle(s) do you publish any activities or data about the super fund’s responsible investing, at least on an annual basis?
(available score = 2)
A) RI included in Annual Report
B) RI included as part of Integrated Report
C) RI as a stand-alone RI Report
D) RI in a Sustainability Report
E) RI information updated on website
F) RI activities communicated with members
G) Do not report on RI
H) Other

97. Do you have the RI aspects of your reporting independently assured (assurance provider’s letter to management would be published in the Report)?
(available score = 2)

98. Indicate the extent to which you provide a public disclosure of the fund's underlying holdings:
(available score = 3)
A) Full holdings disclosure
B) Full holdings disclosed for directly managed
C) At least the largest 1 - 50 holdings published regularly
D) At least the largest 1 - 20 holdings published regularly
E) No regular disclosure or equal to, or less than largest 9

99. Indicate the extent to which you provide a public disclosure of external fund managers used by the fund.
(available score = 1)
A) Full disclosure of all external fund managers used
B) Major external fund managers disclosed
C) No external fund managers disclosed

A broader culture of RI

100. Do marketing and member engagement teams promote and educate internally and externally on RI policy, activities etc.?  
A) Dedicated RI promotion team  
B) RI in overall promotion strategy  
C) Regular and proactive reference to RI  
D) Annual reference to RI  
E) RI rarely mentioned

101. If inclined provide an example of how your fund seeks to encourage a broader culture of responsible investing external to the organisation.

Communication

102. Indicate whether your organization proactively informs members and other stakeholders on its responsible investment policy and/or its performance.  
A) Yes, participants are actively informed about the responsible investment policy and outcome through more than one communication tool  
B) Yes, participants are actively informed about the responsible investment policy and outcomes (e.g. through newsletters)  
C) No

Accessibility & Relevance

103. Stakeholders have easy access to relevant RI information  
A) Yes, website, media channels and proactive stakeholder outreach  
B) Yes, website  
C) Ad hoc  
D) No

104. Is there easy access for customers and members to identify, compare and choose options, including with reference to RI?  
(available score = 1)  
A) Yes, online tool available for members to select and compare options on relevant features  
B) No, no online tool available for members to select and compare options on relevant features

105. Attach any documents related to your RI reporting (including where integrated or communicated in other reports).

106. Include any comments you would like to add regarding the survey.
## Index of funds by RI approaches applied default and RI options

<table>
<thead>
<tr>
<th>Super Fund</th>
<th>Category</th>
<th>Fund / option</th>
<th>RIAA certified</th>
<th>Negative screening</th>
<th>Positive/best-in class</th>
<th>Screening based on international norms</th>
<th>Sustainability-themed investing</th>
<th>Impact/community investing</th>
<th>ESG integration</th>
<th>Engagement &amp; shareholder action</th>
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<tbody>
<tr>
<td>AMP Superannuation</td>
<td>Retail</td>
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<td>●</td>
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<tr>
<td>ANZ Australian Staff Super</td>
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<td>Default: ANZ Smart Choice Super</td>
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<td>●</td>
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<tr>
<td>Australian Catholic Superannuation and Retirement Fund (ACSRF)</td>
<td>Industry</td>
<td>Default: LifetimeOne</td>
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<td>● ● ● ●</td>
<td>●</td>
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<tr>
<td>Australian Catholic Superannuation and Retirement Fund (ACSRF)</td>
<td>Industry</td>
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<tr>
<td>Australian Ethical</td>
<td>Retail</td>
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<td>● ● ● ● ●</td>
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<td>Retail</td>
<td>AE Superannuation Advocacy option</td>
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<td>Retail</td>
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<tr>
<td>Australian Ethical</td>
<td>Retail</td>
<td>AE Superannuation Balanced (accumulation) option</td>
<td>Yes</td>
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<td>Retail</td>
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<td>Retail</td>
<td>AE Superannuation Conservative option</td>
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<td>Retail</td>
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<tr>
<td>Australian Ethical</td>
<td>Retail</td>
<td>AE Superannuation Growth option</td>
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<tr>
<td>Australian Ethical</td>
<td>Retail</td>
<td>AE Superannuation International Shares option</td>
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<td>● ● ● ● ●</td>
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<td>Australia Post Super</td>
<td>Public/non-regulated</td>
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