

Form 5500 Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Annual Return/Report of Employee Benefit Plan This form is required to be filed for employee benefit plans under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and sections 6057(b) and 6058(a) of the Internal Revenue Code (the Code). ▶ Complete all entries in accordance with the instructions to the Form 5500.	OMB Nos. 1210-0110 1210-0089 2021 This Form is Open to Public Inspection
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Part I	Annual Report Identification Information
For calendar plan year 2021 or fiscal plan year beginning <u>01/01/2021</u> and ending <u>12/31/2021</u>	
A This return/report is for:	☐ a multiemployer plan ☐ a multiple-employer plan (Filers checking this box must attach a list of participating employer information in accordance with the form instructions.) ☒ a single-employer plan ☐ a DFE (specify) _____
B This return/report is:	☐ the first return/report ☐ the final return/report ☐ an amended return/report ☐ a short plan year return/report (less than 12 months)
C If the plan is a collectively-bargained plan, check here.	☒
D Check box if filing under:	☒ Form 5558 ☐ automatic extension ☐ the DFVC program ☐ special extension (enter description)
E If this is a retroactively adopted plan permitted by SECURE Act section 201, check here.	☐

Part II	Basic Plan Information—enter all requested information										
1a Name of plan <u>RIO TINTO AMERICA INC. RETIREMENT PLAN</u>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;">1b Three-digit plan number (PN) ▶</td> <td style="width: 20%; text-align: center;"><u>001</u></td> </tr> <tr> <td colspan="2">1c Effective date of plan <u>10/01/1999</u></td> </tr> <tr> <td colspan="2">2b Employer Identification Number (EIN) <u>11-3359689</u></td> </tr> <tr> <td colspan="2">2c Plan Sponsor's telephone number <u>801-204-2000</u></td> </tr> <tr> <td colspan="2">2d Business code (see instructions) <u>212200</u></td> </tr> </table>	1b Three-digit plan number (PN) ▶	<u>001</u>	1c Effective date of plan <u>10/01/1999</u>		2b Employer Identification Number (EIN) <u>11-3359689</u>		2c Plan Sponsor's telephone number <u>801-204-2000</u>		2d Business code (see instructions) <u>212200</u>	
1b Three-digit plan number (PN) ▶	<u>001</u>										
1c Effective date of plan <u>10/01/1999</u>											
2b Employer Identification Number (EIN) <u>11-3359689</u>											
2c Plan Sponsor's telephone number <u>801-204-2000</u>											
2d Business code (see instructions) <u>212200</u>											
2a Plan sponsor's name (employer, if for a single-employer plan) Mailing address (include room, apt., suite no. and street, or P.O. Box) City or town, state or province, country, and ZIP or foreign postal code (if foreign, see instructions) <u>RIO TINTO AMERICA INC.</u> <u>4700 DAYBREAK PARKWAY</u> <u>SOUTH JORDAN, UT 84009</u>											

Caution: A penalty for the late or incomplete filing of this return/report will be assessed unless reasonable cause is established.

Under penalties of perjury and other penalties set forth in the instructions, I declare that I have examined this return/report, including accompanying schedules, statements and attachments, as well as the electronic version of this return/report, and to the best of my knowledge and belief, it is true, correct, and complete.

SIGN HERE	Filed with authorized/valid electronic signature.	10/16/2022	KATHY KARINEN
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE			
	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor
SIGN HERE			
	Signature of DFE	Date	Enter name of individual signing as DFE

For Paperwork Reduction Act Notice, see the Instructions for Form 5500.

Form 5500 (2021)
v. 210624

3a Plan administrator's name and address ☐ Same as Plan Sponsor RIO TINTO AMERICA INC. BENEFITS GOVERNANCE COMMITTEE 4700 DAYBREAK PARKWAY SOUTH JORDAN, UT 84009		3b Administrator's EIN 11-3359689
		3c Administrator's telephone number 801-204-2000
4 If the name and/or EIN of the plan sponsor or the plan name has changed since the last return/report filed for this plan, enter the plan sponsor's name, EIN, the plan name and the plan number from the last return/report: a Sponsor's name c Plan Name		4b EIN 4d PN
5 Total number of participants at the beginning of the plan year		5 8004
6 Number of participants as of the end of the plan year unless otherwise stated (welfare plans complete only lines 6a(1) , 6a(2) , 6b , 6c , and 6d).		
a(1) Total number of active participants at the beginning of the plan year.....		6a(1) 1876
a(2) Total number of active participants at the end of the plan year		6a(2) 1747
b Retired or separated participants receiving benefits.....		6b 2731
c Other retired or separated participants entitled to future benefits		6c 2811
d Subtotal. Add lines 6a(2) , 6b , and 6c		6d 7289
e Deceased participants whose beneficiaries are receiving or are entitled to receive benefits.		6e 564
f Total. Add lines 6d and 6e		6f 7853
g Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)		6g 0
h Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested		6h 16
7 Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item).....		7
8a If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristics Codes in the instructions: 1A 1C 3H 1B		
b If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristics Codes in the instructions:		
9a Plan funding arrangement (check all that apply) (1) ☐ Insurance (2) ☐ Code section 412(e)(3) insurance contracts (3) ☒ Trust (4) ☐ General assets of the sponsor		9b Plan benefit arrangement (check all that apply) (1) ☒ Insurance (2) ☐ Code section 412(e)(3) insurance contracts (3) ☒ Trust (4) ☐ General assets of the sponsor
10 Check all applicable boxes in 10a and 10b to indicate which schedules are attached, and, where indicated, enter the number attached. (See instructions)		
a Pension Schedules (1) ☒ R (Retirement Plan Information) (2) ☐ MB (Multiemployer Defined Benefit Plan and Certain Money Purchase Plan Actuarial Information) - signed by the plan actuary (3) ☒ SB (Single-Employer Defined Benefit Plan Actuarial Information) - signed by the plan actuary		b General Schedules (1) ☒ H (Financial Information) (2) ☐ I (Financial Information – Small Plan) (3) ☐ <u>0</u> A (Insurance Information) (4) ☒ C (Service Provider Information) (5) ☒ D (DFE/Participating Plan Information) (6) ☒ G (Financial Transaction Schedules)

Part III Form M-1 Compliance Information (to be completed by welfare benefit plans)

11a If the plan provides welfare benefits, was the plan subject to the Form M-1 filing requirements during the plan year? (See instructions and 29 CFR 2520.101-2.) ☐ Yes ☐ No

If "Yes" is checked, complete lines 11b and 11c.

11b Is the plan currently in compliance with the Form M-1 filing requirements? (See instructions and 29 CFR 2520.101-2.) ☐ Yes ☐ No

11c Enter the Receipt Confirmation Code for the 2021 Form M-1 annual report. If the plan was not required to file the 2021 Form M-1 annual report, enter the Receipt Confirmation Code for the most recent Form M-1 that was required to be filed under the Form M-1 filing requirements. (Failure to enter a valid Receipt Confirmation Code will subject the Form 5500 filing to rejection as incomplete.)

Receipt Confirmation Code _____

SCHEDULE SB (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Single-Employer Defined Benefit Plan Actuarial Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6059 of the Internal Revenue Code (the Code). ▶ File as an attachment to Form 5500 or 5500-SF.	OMB No. 1210-0110 2021 This Form is Open to Public Inspection
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For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021

▶ **Round off amounts to nearest dollar.**

▶ **Caution:** A penalty of \$1,000 will be assessed for late filing of this report unless reasonable cause is established.

A Name of plan <u>RIO TINTO AMERICA INC. RETIREMENT PLAN</u>	B Three-digit plan number (PN) ▶ <u>001</u>
C Plan sponsor's name as shown on line 2a of Form 5500 or 5500-SF <u>RIO TINTO AMERICA INC.</u>	D Employer Identification Number (EIN) <u>11-3359689</u>
E Type of plan: ☒ Single ☐ Multiple-A ☐ Multiple-B	F Prior year plan size: ☐ 100 or fewer ☐ 101-500 ☒ More than 500

Part I	Basic Information
1 Enter the valuation date: Month <u>01</u> Day <u>01</u> Year <u>2021</u>	
2 Assets:	
a Market value	2a <u>988007949</u>
b Actuarial value	2b <u>889207155</u>
3 Funding target/participant count breakdown	
a For retired participants and beneficiaries receiving payment.....	(1) Number of participants <u>3237</u> (2) Vested Funding Target <u>363762866</u> (3) Total Funding Target <u>363762866</u>
b For terminated vested participants.....	<u>2891</u> <u>146649863</u> <u>146649863</u>
c For active participants	<u>1876</u> <u>146750648</u> <u>159597667</u>
d Total.....	<u>8004</u> <u>657163377</u> <u>670010396</u>
4 If the plan is in at-risk status, check the box and complete lines (a) and (b)..... ☐	
a Funding target disregarding prescribed at-risk assumptions	4a
b Funding target reflecting at-risk assumptions, but disregarding transition rule for plans that have been in at-risk status for fewer than five consecutive years and disregarding loading factor.....	4b
5 Effective interest rate	5 <u>5.62</u> %
6 Target normal cost.....	
a Present value of current plan year accruals.....	6a <u>7407200</u>
b Expected plan-related expenses	6b <u>3827495</u>
c Total (line 6a + line 6b)	6c <u>11234695</u>

Statement by Enrolled Actuary

To the best of my knowledge, the information supplied in this schedule and accompanying schedules, statements and attachments, if any, is complete and accurate. Each prescribed assumption was applied in accordance with applicable law and regulations. In my opinion, each other assumption is reasonable (taking into account the experience of the plan and reasonable expectations) and such other assumptions, in combination, offer my best estimate of anticipated experience under the plan.

SIGN HERE		<u>08/25/2022</u>
Signature of actuary		Date
<u>TROY WARE</u>		<u>20-07419</u>
Type or print name of actuary		Most recent enrollment number
<u>AON CONSULTING, INC.</u>		<u>303-639-4157</u>
Firm name		Telephone number (including area code)
<u>1900 SIXTEENTH STREET</u> <u>SUITE 1000</u> <u>DENVER, CO 80202</u>		
Address of the firm		

If the actuary has not fully reflected any regulation or ruling promulgated under the statute in completing this schedule, check the box and see instructions ☐

For Paperwork Reduction Act Notice, see the Instructions for Form 5500 or 5500-SF.

Schedule SB (Form 5500) 2021
v. 201209

Part II Beginning of Year Carryover and Prefunding Balances

	(a) Carryover balance	(b) Prefunding balance
7 Balance at beginning of prior year after applicable adjustments (line 13 from prior year)	0	239305628
8 Portion elected for use to offset prior year's funding requirement (line 35 from prior year)	0	29970522
9 Amount remaining (line 7 minus line 8)	0	209335106
10 Interest on line 9 using prior year's actual return of <u>17.12</u> %	0	35838170
11 Prior year's excess contributions to be added to prefunding balance:		
a Present value of excess contributions (line 38a from prior year)		0
b(1) Interest on the excess, if any, of line 38a over line 38b from prior year Schedule SB, using prior year's effective interest rate of <u>5.33</u> %		0
b(2) Interest on line 38b from prior year Schedule SB, using prior year's actual return		0
c Total available at beginning of current plan year to add to prefunding balance		0
d Portion of (c) to be added to prefunding balance		0
12 Other reductions in balances due to elections or deemed elections	0	0
13 Balance at beginning of current year (line 9 + line 10 + line 11d – line 12)	0	245173276

Part III Funding Percentages

14 Funding target attainment percentage	14	96.12 %
15 Adjusted funding target attainment percentage	15	118.84 %
16 Prior year's funding percentage for purposes of determining whether carryover/prefunding balances may be used to reduce current year's funding requirement	16	89.68 %
17 If the current value of the assets of the plan is less than 70 percent of the funding target, enter such percentage	17	%

Part IV Contributions and Liquidity Shortfalls**18** Contributions made to the plan for the plan year by employer(s) and employees:

(a) Date (MM-DD-YYYY)	(b) Amount paid by employer(s)	(c) Amount paid by employees	(a) Date (MM-DD-YYYY)	(b) Amount paid by employer(s)	(c) Amount paid by employees
Totals ►			18(b)	0	18(c) 0

19 Discounted employer contributions – see instructions for small plan with a valuation date after the beginning of the year:

a Contributions allocated toward unpaid minimum required contributions from prior years	19a	0
b Contributions made to avoid restrictions adjusted to valuation date	19b	0
c Contributions allocated toward minimum required contribution for current year adjusted to valuation date	19c	0

20 Quarterly contributions and liquidity shortfalls:

- a** Did the plan have a "funding shortfall" for the prior year? ☒ Yes ☐ No
- b** If line 20a is "Yes," were required quarterly installments for the current year made in a timely manner? ☒ Yes ☐ No
- c** If line 20a is "Yes," see instructions and complete the following table as applicable:

Liquidity shortfall as of end of quarter of this plan year			
(1) 1st	(2) 2nd	(3) 3rd	(4) 4th
0	0	0	0

Part V Assumptions Used to Determine Funding Target and Target Normal Cost

21 Discount rate:			
a Segment rates:	1st segment: 4.75 %	2nd segment: 5.36 %	3rd segment: 6.11 %
			☐ N/A, full yield curve used
b Applicable month (enter code)			21b 4
22 Weighted average retirement age			22 63
23 Mortality table(s) (see instructions) ☐ Prescribed - combined ☒ Prescribed - separate ☐ Substitute			

Part VI Miscellaneous Items

24 Has a change been made in the non-prescribed actuarial assumptions for the current plan year? If "Yes," see instructions regarding required attachment.....	☒ Yes ☐ No
25 Has a method change been made for the current plan year? If "Yes," see instructions regarding required attachment.....	☐ Yes ☒ No
26 Is the plan required to provide a Schedule of Active Participants? If "Yes," see instructions regarding required attachment.....	☒ Yes ☐ No
27 If the plan is subject to alternative funding rules, enter applicable code and see instructions regarding attachment.....	27

Part VII Reconciliation of Unpaid Minimum Required Contributions For Prior Years

28 Unpaid minimum required contributions for all prior years	28	0
29 Discounted employer contributions allocated toward unpaid minimum required contributions from prior years (line 19a).....	29	0
30 Remaining amount of unpaid minimum required contributions (line 28 minus line 29)	30	0

Part VIII Minimum Required Contribution For Current Year

31 Target normal cost and excess assets (see instructions):			
a Target normal cost (line 6c)		31a	11234695
b Excess assets, if applicable, but not greater than line 31a		31b	0
32 Amortization installments:	Outstanding Balance	Installment	
a Net shortfall amortization installment	25976517	2422092	
b Waiver amortization installment	0	0	
33 If a waiver has been approved for this plan year, enter the date of the ruling letter granting the approval (Month _____ Day _____ Year _____) and the waived amount		33	
34 Total funding requirement before reflecting carryover/prefunding balances (lines 31a - 31b + 32a + 32b - 33).....		34	13656787
	Carryover balance	Prefunding balance	Total balance
35 Balances elected for use to offset funding requirement	0	14786256	14786256
36 Additional cash requirement (line 34 minus line 35)		36	0
37 Contributions allocated toward minimum required contribution for current year adjusted to valuation date (line 19c)		37	0
38 Present value of excess contributions for current year (see instructions)			
a Total (excess, if any, of line 37 over line 36)		38a	0
b Portion included in line 38a attributable to use of prefunding and funding standard carryover balances		38b	0
39 Unpaid minimum required contribution for current year (excess, if any, of line 36 over line 37)		39	0
40 Unpaid minimum required contributions for all years		40	0

Part IX Pension Funding Relief Under Pension Relief Act of 2010 (See Instructions)

41 If an election was made to use PRA 2010 funding relief for this plan:	
a Schedule elected	☐ 2 plus 7 years ☐ 15 years
b Eligible plan year(s) for which the election in line 41a was made	☐ 2008 ☐ 2009 ☐ 2010 ☐ 2011

SCHEDULE C (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Service Provider Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ▶ File as an attachment to Form 5500.	OMB No. 1210-0110
		2021
		This Form is Open to Public Inspection.
For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021		
A Name of plan RIO TINTO AMERICA INC. RETIREMENT PLAN	B Three-digit plan number (PN) ▶	001
C Plan sponsor's name as shown on line 2a of Form 5500 RIO TINTO AMERICA INC.	D Employer Identification Number (EIN) 11-3359689	

Part I	Service Provider Information (see instructions)
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You must complete this Part, in accordance with the instructions, to report the information required for **each person** who received, directly or indirectly, \$5,000 or more in total compensation (i.e., money or anything else of monetary value) in connection with services rendered to the plan or the person's position with the plan during the plan year. If a person received **only** eligible indirect compensation for which the plan received the required disclosures, you are required to answer line 1 but are not required to include that person when completing the remainder of this Part.

1 Information on Persons Receiving Only Eligible Indirect Compensation

- a** Check "Yes" or "No" to indicate whether you are excluding a person from the remainder of this Part because they received only eligible indirect compensation for which the plan received the required disclosures (see instructions for definitions and conditions)..... ☐ Yes ☒ No
- b** If you answered line 1a "Yes," enter the name and EIN or address of each person providing the required disclosures for the service providers who received only eligible indirect compensation. Complete as many entries as needed (see instructions).

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation
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2. Information on Other Service Providers Receiving Direct or Indirect Compensation. Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, \$5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

(a) Enter name and EIN or address (see instructions)

PIMCO

840 NEWPORT CTR, STE 100
NEWPORT BEACH, CA 92660

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28	NONE	1436281	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

(a) Enter name and EIN or address (see instructions)

AON HEWITT

100 HALF DAY ROAD
LINCOLNSHIRE, IL 60069

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
11	NONE	1232102	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

(a) Enter name and EIN or address (see instructions)

JP MORGAN

13-3836528

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28	NONE	439532	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

2. Information on Other Service Providers Receiving Direct or Indirect Compensation. Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, \$5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

(a) Enter name and EIN or address (see instructions)

DRA GROWTH

220 EAST 42ND STREET
NEW YORK, NY 10017

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28	NONE	357260	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

(a) Enter name and EIN or address (see instructions)

STATE STREET TRUST CO

04-3581074

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
25	NONE	250604	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

(a) Enter name and EIN or address (see instructions)

ALVAREZ AND MARSAL TAXAND, LLC

56-2409465

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
16	NONE	126245	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

2. Information on Other Service Providers Receiving Direct or Indirect Compensation. Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, \$5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

(a) Enter name and EIN or address (see instructions)

MORGAN, LEWIS & BOCKIUS LLP

23-0891050

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
29	NONE	109756	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

(a) Enter name and EIN or address (see instructions)

MERCER

13-2834414

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
27	NONE	109700	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

(a) Enter name and EIN or address (see instructions)

BDO USA, LLP

13-5381590

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
10	NONE	71000	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

2. Information on Other Service Providers Receiving Direct or Indirect Compensation. Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, \$5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

(a) Enter name and EIN or address (see instructions)

HOLLAND & HART LLP

84-0382505

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
29	NONE	39018	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

(a) Enter name and EIN or address (see instructions)

LINKLATERS LLP

1290 AVENUE OF THE AMERICAS
NEW YORK, NY 10104

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
29	NONE	14430	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

(a) Enter name and EIN or address (see instructions)

MAYER BROWN LLP

71 SOUTH WACKER DRIVE
CHICAGO, IL 60606

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
29	NONE	13231	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received \$1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	

Part II Service Providers Who Fail or Refuse to Provide Information

4 Provide, to the extent possible, the following information for each service provider who failed or refused to provide the information necessary to complete this Schedule.

(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide
(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide
(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide
(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide
(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide
(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide

Part III Termination Information on Accountants and Enrolled Actuaries (see instructions)
(complete as many entries as needed)

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

SCHEDULE D (Form 5500) <small>Department of the Treasury Internal Revenue Service</small> <small>Department of Labor Employee Benefits Security Administration</small>	DFE/Participating Plan Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ► File as an attachment to Form 5500.	OMB No. 1210-0110 2021 This Form is Open to Public Inspection.
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For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021

A Name of plan <u>RIO TINTO AMERICA INC. RETIREMENT PLAN</u>	B Three-digit plan number (PN) ►	<u>001</u>
C Plan or DFE sponsor's name as shown on line 2a of Form 5500 <u>RIO TINTO AMERICA INC.</u>	D Employer Identification Number (EIN) <u>11-3359689</u>	

Part I	Information on interests in MTIAs, CCTs, PSAs, and 103-12 IEs (to be completed by plans and DFEs) (Complete as many entries as needed to report all interests in DFEs)
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a Name of MTIA, CCT, PSA, or 103-12 IE: <u>JPMCP STRATEGIC PROPERTY FUND</u>		
b Name of sponsor of entity listed in (a): <u>JP MORGAN</u>		
c EIN-PN <u>55-2992935-000</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>50804689</u>
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>SER ASSET BACKED SECURITIES (PIMCO)</u>		
b Name of sponsor of entity listed in (a): <u>PIMCO</u>		
c EIN-PN <u>33-0921312-000</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>3291361</u>
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>PIMCO FDS SHORT TERM FLTG NAV MUTUA</u>		
b Name of sponsor of entity listed in (a): <u>PIMCO</u>		
c EIN-PN <u>26-4370277-000</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>177906</u>
a Name of MTIA, CCT, PSA, or 103-12 IE:		
b Name of sponsor of entity listed in (a):		
c EIN-PN	d Entity code	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)
a Name of MTIA, CCT, PSA, or 103-12 IE:		
b Name of sponsor of entity listed in (a):		
c EIN-PN	d Entity code	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)
a Name of MTIA, CCT, PSA, or 103-12 IE:		
b Name of sponsor of entity listed in (a):		
c EIN-PN	d Entity code	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)
a Name of MTIA, CCT, PSA, or 103-12 IE:		
b Name of sponsor of entity listed in (a):		
c EIN-PN	d Entity code	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity
code**e** Dollar value of interest in MTIA, CCT, PSA, or
103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity
code**e** Dollar value of interest in MTIA, CCT, PSA, or
103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity
code**e** Dollar value of interest in MTIA, CCT, PSA, or
103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity
code**e** Dollar value of interest in MTIA, CCT, PSA, or
103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity
code**e** Dollar value of interest in MTIA, CCT, PSA, or
103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity
code**e** Dollar value of interest in MTIA, CCT, PSA, or
103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity
code**e** Dollar value of interest in MTIA, CCT, PSA, or
103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity
code**e** Dollar value of interest in MTIA, CCT, PSA, or
103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity
code**e** Dollar value of interest in MTIA, CCT, PSA, or
103-12 IE at end of year (see instructions)**a** Name of MTIA, CCT, PSA, or 103-12 IE:**b** Name of sponsor of entity listed in (a):**c** EIN-PN**d** Entity
code**e** Dollar value of interest in MTIA, CCT, PSA, or
103-12 IE at end of year (see instructions)

Part II Information on Participating Plans (to be completed by DFEs)

(Complete as many entries as needed to report all participating plans)

a Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN

SCHEDULE G (Form 5500) <small>Department of Treasury Internal Revenue Service</small> <small>Department of Labor Employee Benefits Security Administration</small>	<div style="text-align: center;">Financial Transaction Schedules</div> <p>This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6058(a) of the Internal Revenue Code (the Code).</p> <p style="text-align: center;">▶ File as an attachment to Form 5500.</p>	<div style="text-align: center;">OMB No. 1210-0110</div> <div style="text-align: center; font-size: 1.2em; font-weight: bold;">2021</div> <div style="text-align: center; font-weight: bold;">This Form is Open to Public Inspection.</div>
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For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021

A Name of plan <u>RIO TINTO AMERICA INC. RETIREMENT PLAN</u>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;">B Three-digit plan number (PN) ▶</td> <td style="width: 20%; text-align: center;"><u>001</u></td> </tr> <tr> <td colspan="2" style="height: 20px;"></td> </tr> </table>	B Three-digit plan number (PN) ▶	<u>001</u>		
B Three-digit plan number (PN) ▶	<u>001</u>				
C Plan sponsor's name as shown on line 2a of Form 5500 <u>RIO TINTO AMERICA INC.</u>	D Employer Identification Number (EIN) <u>11-3359689</u>				

Part I	Schedule of Loans or Fixed Income Obligations in Default or Classified as Uncollectible Complete as many entries as needed to report all loans or fixed income obligations in default or classified as uncollectible. Check box (a) if obligor is known to be a party in interest. Attach Overdue Loan Explanation for each loan listed. See Instructions.
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(a)	(b) Identity and address of obligor	(c) Detailed description of loan including dates of making and maturity, interest rate, the type and value of collateral, any renegotiation of the loan and the terms of the renegotiation, and other material items
☐		

	Amount received during reporting year			Amount overdue	
(d) Original amount of loan	(e) Principal	(f) Interest	(g) Unpaid balance at end of year	(h) Principal	(i) Interest

(a)	(b) Identity and address of obligor	(c) Detailed description of loan including dates of making and maturity, interest rate, the type and value of collateral, any renegotiation of the loan and the terms of the renegotiation, and other material items
☐		

	Amount received during reporting year			Amount overdue	
(d) Original amount of loan	(e) Principal	(f) Interest	(g) Unpaid balance at end of year	(h) Principal	(i) Interest

(a)	(b) Identity and address of obligor	(c) Detailed description of loan including dates of making and maturity, interest rate, the type and value of collateral, any renegotiation of the loan and the terms of the renegotiation, and other material items
☐		

	Amount received during reporting year			Amount overdue	
(d) Original amount of loan	(e) Principal	(f) Interest	(g) Unpaid balance at end of year	(h) Principal	(i) Interest

(a)	(b) Identity and address of obligor	(c) Detailed description of loan including dates of making and maturity, interest rate, the type and value of collateral, any renegotiation of the loan and the terms of the renegotiation, and other material items			
☐					
		Amount received during reporting year		Amount overdue	
(d) Original amount of loan	(e) Principal	(f) Interest	(g) Unpaid balance at end of year	(h) Principal	(i) Interest

(a)	(b) Identity and address of obligor	(c) Detailed description of loan including dates of making and maturity, interest rate, the type and value of collateral, any renegotiation of the loan and the terms of the renegotiation, and other material items			
☐					
		Amount received during reporting year		Amount overdue	
(d) Original amount of loan	(e) Principal	(f) Interest	(g) Unpaid balance at end of year	(h) Principal	(i) Interest

(a)	(b) Identity and address of obligor	(c) Detailed description of loan including dates of making and maturity, interest rate, the type and value of collateral, any renegotiation of the loan and the terms of the renegotiation, and other material items			
☐					
		Amount received during reporting year		Amount overdue	
(d) Original amount of loan	(e) Principal	(f) Interest	(g) Unpaid balance at end of year	(h) Principal	(i) Interest

(a)	(b) Identity and address of obligor	(c) Detailed description of loan including dates of making and maturity, interest rate, the type and value of collateral, any renegotiation of the loan and the terms of the renegotiation, and other material items			
☐					
		Amount received during reporting year		Amount overdue	
(d) Original amount of loan	(e) Principal	(f) Interest	(g) Unpaid balance at end of year	(h) Principal	(i) Interest

(a)	(b) Identity and address of obligor	(c) Detailed description of loan including dates of making and maturity, interest rate, the type and value of collateral, any renegotiation of the loan and the terms of the renegotiation, and other material items			
☐					
		Amount received during reporting year		Amount overdue	
(d) Original amount of loan	(e) Principal	(f) Interest	(g) Unpaid balance at end of year	(h) Principal	(i) Interest

Part II Schedule of Leases in Default or Classified as Uncollectible

Complete as many entries as needed to report all leases in default or classified as uncollectible. Check box (a) if lessor or lessee is known to be a party in interest. Attach Overdue Lease Explanation for each lease listed. (See instructions)

(a)	(b) Identity of lessor/lessee	(c) Relationship to plan, employer, employee organization, or other party-in-interest	(d) Terms and description (type of property, location and date it was purchased, terms regarding rent, taxes, insurance, repairs, expenses, renewal options, date property was leased)			
☐						
(e) Original cost	(f) Current value at time of lease	(g) Gross rental receipts during the plan year	(h) Expenses paid during the plan year	(i) Net receipts	(j) Amount in arrears	

(a)	(b) Identity of lessor/lessee	(c) Relationship to plan, employer, employee organization, or other party-in-interest	(d) Terms and description (type of property, location and date it was purchased, terms regarding rent, taxes, insurance, repairs, expenses, renewal options, date property was leased)			
☐						
(e) Original cost	(f) Current value at time of lease	(g) Gross rental receipts during the plan year	(h) Expenses paid during the plan year	(i) Net receipts	(j) Amount in arrears	

(a)	(b) Identity of lessor/lessee	(c) Relationship to plan, employer, employee organization, or other party-in-interest	(d) Terms and description (type of property, location and date it was purchased, terms regarding rent, taxes, insurance, repairs, expenses, renewal options, date property was leased)			
☐						
(e) Original cost	(f) Current value at time of lease	(g) Gross rental receipts during the plan year	(h) Expenses paid during the plan year	(i) Net receipts	(j) Amount in arrears	

(a)	(b) Identity of lessor/lessee	(c) Relationship to plan, employer, employee organization, or other party-in-interest	(d) Terms and description (type of property, location and date it was purchased, terms regarding rent, taxes, insurance, repairs, expenses, renewal options, date property was leased)			
☐						
(e) Original cost	(f) Current value at time of lease	(g) Gross rental receipts during the plan year	(h) Expenses paid during the plan year	(i) Net receipts	(j) Amount in arrears	

(a)	(b) Identity of lessor/lessee	(c) Relationship to plan, employer, employee organization, or other party-in-interest	(d) Terms and description (type of property, location and date it was purchased, terms regarding rent, taxes, insurance, repairs, expenses, renewal options, date property was leased)			
☐						
(e) Original cost	(f) Current value at time of lease	(g) Gross rental receipts during the plan year	(h) Expenses paid during the plan year	(i) Net receipts	(j) Amount in arrears	

(a)	(b) Identity of lessor/lessee	(c) Relationship to plan, employer, employee organization, or other party-in-interest	(d) Terms and description (type of property, location and date it was purchased, terms regarding rent, taxes, insurance, repairs, expenses, renewal options, date property was leased)			
☐						
(e) Original cost	(f) Current value at time of lease	(g) Gross rental receipts during the plan year	(h) Expenses paid during the plan year	(i) Net receipts	(j) Amount in arrears	

Part III Nonexempt Transactions

Complete as many entries as needed to report all nonexempt transactions. **Caution:** If a nonexempt prohibited transaction occurred with respect to a disqualified person, file Form 5330 with the IRS to pay the excise tax on the transaction.

(a) Identity of party involved	(b) Relationship to plan, employer, or other party-in-interest	(c) Description of transaction including maturity date, rate of interest, collateral, par or maturity value	(d) Purchase price
STATE STREET TRUST CO	CUSTODIAN	OVERPAYMENT BY ADMINISTRATOR	
(e) Selling price	(f) Lease rental	(g) Transaction expenses	(h) Cost of asset
		9942	
(i) Current value of asset	(j) Net gain (or loss) on each transaction		368

(a) Identity of party involved	(b) Relationship to plan, employer, or other party-in-interest	(c) Description of transaction including maturity date, rate of interest, collateral, par or maturity value	(d) Purchase price
(e) Selling price	(f) Lease rental	(g) Transaction expenses	(h) Cost of asset
(i) Current value of asset	(j) Net gain (or loss) on each transaction		

(a) Identity of party involved	(b) Relationship to plan, employer, or other party-in-interest	(c) Description of transaction including maturity date, rate of interest, collateral, par or maturity value	(d) Purchase price
(e) Selling price	(f) Lease rental	(g) Transaction expenses	(h) Cost of asset
(i) Current value of asset	(j) Net gain (or loss) on each transaction		

(a) Identity of party involved	(b) Relationship to plan, employer, or other party-in-interest	(c) Description of transaction including maturity date, rate of interest, collateral, par or maturity value	(d) Purchase price
(e) Selling price	(f) Lease rental	(g) Transaction expenses	(h) Cost of asset
(i) Current value of asset	(j) Net gain (or loss) on each transaction		

(a) Identity of party involved	(b) Relationship to plan, employer, or other party-in-interest	(c) Description of transaction including maturity date, rate of interest, collateral, par or maturity value	(d) Purchase price
(e) Selling price	(f) Lease rental	(g) Transaction expenses	(h) Cost of asset
(i) Current value of asset	(j) Net gain (or loss) on each transaction		

(a) Identity of party involved	(b) Relationship to plan, employer, or other party-in-interest	(c) Description of transaction including maturity date, rate of interest, collateral, par or maturity value	(d) Purchase price
(e) Selling price	(f) Lease rental	(g) Transaction expenses	(h) Cost of asset
(i) Current value of asset	(j) Net gain (or loss) on each transaction		

(a) Identity of party involved	(b) Relationship to plan, employer, or other party-in-interest	(c) Description of transaction including maturity date, rate of interest, collateral, par or maturity value	(d) Purchase price
(e) Selling price	(f) Lease rental	(g) Transaction expenses	(h) Cost of asset
(i) Current value of asset	(j) Net gain (or loss) on each transaction		

SCHEDULE H (Form 5500) <small>Department of the Treasury Internal Revenue Service</small> <small>Department of Labor Employee Benefits Security Administration</small> <small>Pension Benefit Guaranty Corporation</small>	Financial Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA), and section 6058(a) of the Internal Revenue Code (the Code). ► File as an attachment to Form 5500.	<small>OMB No. 1210-0110</small> 2021 This Form is Open to Public Inspection
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For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021		
A Name of plan RIO TINTO AMERICA INC. RETIREMENT PLAN	B Three-digit plan number (PN)	001
C Plan sponsor's name as shown on line 2a of Form 5500 RIO TINTO AMERICA INC.	D Employer Identification Number (EIN) 11-3359689	

Part I	Asset and Liability Statement
---------------	--------------------------------------

1 Current value of plan assets and liabilities at the beginning and end of the plan year. Combine the value of plan assets held in more than one trust. Report the value of the plan's interest in a commingled fund containing the assets of more than one plan on a line-by-line basis unless the value is reportable on lines 1c(9) through 1c(14). Do not enter the value of that portion of an insurance contract which guarantees, during this plan year, to pay a specific dollar benefit at a future date. **Round off amounts to the nearest dollar.** MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 1b(1), 1b(2), 1c(8), 1g, 1h, and 1i. CCTs, PSAs, and 103-12 IEs also do not complete lines 1d and 1e. See instructions.

Assets		(a) Beginning of Year	(b) End of Year
a Total noninterest-bearing cash.....	1a	0	5938874
b Receivables (less allowance for doubtful accounts):			
(1) Employer contributions	1b(1)		
(2) Participant contributions.....	1b(2)		
(3) Other	1b(3)	0	39378427
c General investments:			
(1) Interest-bearing cash (include money market accounts & certificates of deposit)	1c(1)	0	27559502
(2) U.S. Government securities	1c(2)	0	377757724
(3) Corporate debt instruments (other than employer securities):			
(A) Preferred	1c(3)(A)		
(B) All other	1c(3)(B)	0	418232124
(4) Corporate stocks (other than employer securities):			
(A) Preferred	1c(4)(A)	0	3123358
(B) Common	1c(4)(B)	0	19
(5) Partnership/joint venture interests	1c(5)	0	185306111
(6) Real estate (other than employer real property)	1c(6)		
(7) Loans (other than to participants)	1c(7)	0	23373207
(8) Participant loans	1c(8)		
(9) Value of interest in common/collective trusts	1c(9)	0	54273956
(10) Value of interest in pooled separate accounts	1c(10)		
(11) Value of interest in master trust investment accounts	1c(11)	988207003	0
(12) Value of interest in 103-12 investment entities	1c(12)		
(13) Value of interest in registered investment companies (e.g., mutual funds)	1c(13)		
(14) Value of funds held in insurance company general account (unallocated contracts).....	1c(14)		
(15) Other.....	1c(15)	0	22056969

		(a) Beginning of Year	(b) End of Year
1d	Employer-related investments:		
(1)	Employer securities.....	1d(1)	
(2)	Employer real property.....	1d(2)	
e	Buildings and other property used in plan operation	1e	
f	Total assets (add all amounts in lines 1a through 1e)	1f	988207003 1157000271
Liabilities			
g	Benefit claims payable	1g	
h	Operating payables	1h	0 172693155
i	Acquisition indebtedness.....	1i	
j	Other liabilities.....	1j	199054 794763
k	Total liabilities (add all amounts in lines 1g through 1j)	1k	199054 173487918
Net Assets			
l	Net assets (subtract line 1k from line 1f)	1l	988007949 983512353

Part II Income and Expense Statement

2 Plan income, expenses, and changes in net assets for the year. Include all income and expenses of the plan, including any trust(s) or separately maintained fund(s) and any payments/receipts to/from insurance carriers. Round off amounts to the nearest dollar. MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 2a, 2b(1)(E), 2e, 2f, and 2g.

		(a) Amount	(b) Total
Income			
a	Contributions:		
(1)	Received or receivable in cash from: (A) Employers	2a(1)(A)	
	(B) Participants	2a(1)(B)	
	(C) Others (including rollovers).....	2a(1)(C)	
(2)	Noncash contributions.....	2a(2)	
(3)	Total contributions. Add lines 2a(1)(A) , (B) , (C) , and line 2a(2)	2a(3)	0
b	Earnings on investments:		
(1)	Interest:		
	(A) Interest-bearing cash (including money market accounts and certificates of deposit).....	2b(1)(A)	7590
	(B) U.S. Government securities	2b(1)(B)	4458270
	(C) Corporate debt instruments	2b(1)(C)	16321500
	(D) Loans (other than to participants)	2b(1)(D)	4426
	(E) Participant loans.....	2b(1)(E)	
	(F) Other	2b(1)(F)	148487
	(G) Total interest. Add lines 2b(1)(A) through (F)	2b(1)(G)	20940273
(2)	Dividends: (A) Preferred stock.....	2b(2)(A)	
	(B) Common stock	2b(2)(B)	2563593
	(C) Registered investment company shares (e.g. mutual funds).....	2b(2)(C)	
	(D) Total dividends. Add lines 2b(2)(A) , (B) , and (C)	2b(2)(D)	2563593
(3)	Rents	2b(3)	
(4)	Net gain (loss) on sale of assets: (A) Aggregate proceeds	2b(4)(A)	6947436557
	(B) Aggregate carrying amount (see instructions).....	2b(4)(B)	6991999380
	(C) Subtract line 2b(4)(B) from line 2b(4)(A) and enter result	2b(4)(C)	-44562823
(5)	Unrealized appreciation (depreciation) of assets: (A) Real estate	2b(5)(A)	0
	(B) Other	2b(5)(B)	54832203
	(C) Total unrealized appreciation of assets. Add lines 2b(5)(A) and (B)	2b(5)(C)	54832203

		(a) Amount	(b) Total
(6) Net investment gain (loss) from common/collective trusts.....	2b(6)		7496247
(7) Net investment gain (loss) from pooled separate accounts.....	2b(7)		
(8) Net investment gain (loss) from master trust investment accounts.....	2b(8)		
(9) Net investment gain (loss) from 103-12 investment entities.....	2b(9)		
(10) Net investment gain (loss) from registered investment companies (e.g., mutual funds).....	2b(10)		
c Other income.....	2c		3185310
d Total income. Add all income amounts in column (b) and enter total.....	2d		44454803
Expenses			
e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers.....	2e(1)	41684896	
(2) To insurance carriers for the provision of benefits.....	2e(2)		
(3) Other.....	2e(3)		
(4) Total benefit payments. Add lines 2e(1) through (3).....	2e(4)		41684896
f Corrective distributions (see instructions).....	2f		
g Certain deemed distributions of participant loans (see instructions).....	2g		
h Interest expense.....	2h		
i Administrative expenses: (1) Professional fees.....	2i(1)	1718196	
(2) Contract administrator fees.....	2i(2)	250604	
(3) Investment advisory and management fees.....	2i(3)	4208359	
(4) Other.....	2i(4)	1088344	
(5) Total administrative expenses. Add lines 2i(1) through (4).....	2i(5)		7265503
j Total expenses. Add all expense amounts in column (b) and enter total.....	2j		48950399
Net Income and Reconciliation			
k Net income (loss). Subtract line 2j from line 2d.....	2k		-4495596
l Transfers of assets:			
(1) To this plan.....	2l(1)		
(2) From this plan.....	2l(2)		

Part III Accountant's Opinion

3 Complete lines 3a through 3c if the opinion of an independent qualified public accountant is attached to this Form 5500. Complete line 3d if an opinion is not attached.

a The attached opinion of an independent qualified public accountant for this plan is (see instructions):

(1) ☒ Unmodified (2) ☐ Qualified (3) ☐ Disclaimer (4) ☐ Adverse

b Check the appropriate box(es) to indicate whether the IQPA performed an ERISA section 103(a)(3)(C) audit. Check both boxes (1) and (2) if the audit was performed pursuant to both 29 CFR 2520.103-8 and 29 CFR 2520.103-12(d). Check box (3) if pursuant to neither.

(1) ☒ DOL Regulation 2520.103-8 (2) ☐ DOL Regulation 2520.103-12(d) (3) ☐ neither DOL Regulation 2520.103-8 nor DOL Regulation 2520.103-12(d).

c Enter the name and EIN of the accountant (or accounting firm) below:

(1) Name: BDO USA, LLP

(2) EIN: 13-5381590

d The opinion of an independent qualified public accountant is **not attached** because:

(1) ☐ This form is filed for a CCT, PSA, or MTIA. (2) ☐ It will be attached to the next Form 5500 pursuant to 29 CFR 2520.104-50.

Part IV Compliance Questions

4 CCTs and PSAs do not complete Part IV. MTIAs, 103-12 IEs, and GIAs do not complete lines 4a, 4e, 4f, 4g, 4h, 4k, 4m, 4n, or 5. 103-12 IEs also do not complete lines 4j and 4l. MTIAs also do not complete line 4l.

During the plan year:

a Was there a failure to transmit to the plan any participant contributions within the time period described in 29 CFR 2510.3-102? Continue to answer "Yes" for any prior year failures until fully corrected. (See instructions and DOL's Voluntary Fiduciary Correction Program.).....

	Yes	No	Amount
4a		X	

	Yes	No	Amount
b Were any loans by the plan or fixed income obligations due the plan in default as of the close of the plan year or classified during the year as uncollectible? Disregard participant loans secured by participant's account balance. (Attach Schedule G (Form 5500) Part I if "Yes" is checked.)			
4b		X	
c Were any leases to which the plan was a party in default or classified during the year as uncollectible? (Attach Schedule G (Form 5500) Part II if "Yes" is checked.)			
4c		X	
d Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 4a. Attach Schedule G (Form 5500) Part III if "Yes" is checked.)			
4d	X		368
e Was this plan covered by a fidelity bond?			
4e	X		20000000
f Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?			
4f		X	
g Did the plan hold any assets whose current value was neither readily determinable on an established market nor set by an independent third party appraiser?			
4g		X	
h Did the plan receive any noncash contributions whose value was neither readily determinable on an established market nor set by an independent third party appraiser?			
4h		X	
i Did the plan have assets held for investment? (Attach schedule(s) of assets if "Yes" is checked, and see instructions for format requirements.)			
4i	X		
j Were any plan transactions or series of transactions in excess of 5% of the current value of plan assets? (Attach schedule of transactions if "Yes" is checked and see instructions for format requirements.)			
4j	X		
k Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?			
4k		X	
l Has the plan failed to provide any benefit when due under the plan?			
4l		X	
m If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.)			
4m			
n If 4m was answered "Yes," check the "Yes" box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3.			
4n			

5a Has a resolution to terminate the plan been adopted during the plan year or any prior plan year? ☐ Yes ☒ No
If "Yes," enter the amount of any plan assets that reverted to the employer this year _____.

5b If, during this plan year, any assets or liabilities were transferred from this plan to another plan(s), identify the plan(s) to which assets or liabilities were transferred. (See instructions.)

5b(1) Name of plan(s)	5b(2) EIN(s)	5b(3) PN(s)

5c Was the plan a defined benefit plan covered under the PBGC insurance program at any time during this plan year? (See ERISA section 4021 and instructions.) ☒ Yes ☐ No ☐ Not determined
If "Yes" is checked, enter the My PAA confirmation number from the PBGC premium filing for this plan year 435139.

<div>SCHEDULE R (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation</div>	<div>Retirement Plan Information</div> <div>This schedule is required to be filed under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6058(a) of the Internal Revenue Code (the Code).</div> <div>► File as an attachment to Form 5500.</div>	<div>OMB No. 1210-0110</div> <div>2021</div> <div>This Form is Open to Public Inspection.</div>
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For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021

A Name of plan RIO TINTO AMERICA INC. RETIREMENT PLAN	B Three-digit plan number (PN) ► 001
C Plan sponsor's name as shown on line 2a of Form 5500 RIO TINTO AMERICA INC.	D Employer Identification Number (EIN) 11-3359689

Part I	Distributions
---------------	----------------------

All references to distributions relate only to payments of benefits during the plan year.

1 Total value of distributions paid in property other than in cash or the forms of property specified in the instructions.....	1	0
2 Enter the EIN(s) of payor(s) who paid benefits on behalf of the plan to participants or beneficiaries during the year (if more than two, enter EINs of the two payors who paid the greatest dollar amounts of benefits): EIN(s): 04-3581074		
Profit-sharing plans, ESOPs, and stock bonus plans, skip line 3.		
3 Number of participants (living or deceased) whose benefits were distributed in a single sum, during the plan year	3	23

Part II	Funding Information (If the plan is not subject to the minimum funding requirements of section 412 of the Internal Revenue Code or ERISA section 302, skip this Part.)
----------------	---

4 Is the plan administrator making an election under Code section 412(d)(2) or ERISA section 302(d)(2)?	☐ Yes	☐ No	☒ N/A
If the plan is a defined benefit plan, go to line 8.			
5 If a waiver of the minimum funding standard for a prior year is being amortized in this plan year, see instructions and enter the date of the ruling letter granting the waiver. Date: Month _____ Day _____ Year _____ If you completed line 5, complete lines 3, 9, and 10 of Schedule MB and do not complete the remainder of this schedule.			
6 a Enter the minimum required contribution for this plan year (include any prior year accumulated funding deficiency not waived)	6a		
b Enter the amount contributed by the employer to the plan for this plan year	6b		
c Subtract the amount in line 6b from the amount in line 6a. Enter the result (enter a minus sign to the left of a negative amount)	6c		
If you completed line 6c, skip lines 8 and 9.			
7 Will the minimum funding amount reported on line 6c be met by the funding deadline?	☐ Yes	☐ No	☐ N/A
8 If a change in actuarial cost method was made for this plan year pursuant to a revenue procedure or other authority providing automatic approval for the change or a class ruling letter, does the plan sponsor or plan administrator agree with the change?	☐ Yes	☐ No	☒ N/A

Part III	Amendments
-----------------	-------------------

9 If this is a defined benefit pension plan, were any amendments adopted during this plan year that increased or decreased the value of benefits? If yes, check the appropriate box. If no, check the "No" box.....	☒ Increase	☐ Decrease	☐ Both	☐ No
--	--	-----------------------------------	-------------------------------	-----------------------------

Part IV	ESOPs (see instructions). If this is not a plan described under section 409(a) or 4975(e)(7) of the Internal Revenue Code, skip this Part.
----------------	---

10 Were unallocated employer securities or proceeds from the sale of unallocated securities used to repay any exempt loan?	☐ Yes	☐ No
11 a Does the ESOP hold any preferred stock?	☐ Yes	☐ No
b If the ESOP has an outstanding exempt loan with the employer as lender, is such loan part of a "back-to-back" loan? (See instructions for definition of "back-to-back" loan.)	☐ Yes	☐ No
12 Does the ESOP hold any stock that is not readily tradable on an established securities market?	☐ Yes	☐ No

For Paperwork Reduction Act Notice, see the Instructions for Form 5500.

Schedule R (Form 5500) 2021
v. 201209

Part V Additional Information for Multiemployer Defined Benefit Pension Plans

13 Enter the following information for each employer that contributed more than 5% of total contributions to the plan during the plan year (measured in dollars). See instructions. *Complete as many entries as needed to report all applicable employers.*

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

- 14** Enter the number of deferred vested and retired participants (inactive participants), as of the beginning of the plan year, whose contributing employer is no longer making contributions to the plan for:

a The current plan year. Check the box to indicate the counting method used to determine the number of inactive participants: ☐ last contributing employer ☐ alternative ☐ reasonable approximation (see instructions for required attachment).....

14a

b The plan year immediately preceding the current plan year. ☐ Check the box if the number reported is a change from what was previously reported (see instructions for required attachment).....

14b

c The second preceding plan year. ☐ Check the box if the number reported is a change from what was previously reported (see instructions for required attachment).....

14c

- 15** Enter the ratio of the number of participants under the plan on whose behalf no employer had an obligation to make an employer contribution during the current plan year to:

a The corresponding number for the plan year immediately preceding the current plan year.....

15a

b The corresponding number for the second preceding plan year.....

15b

- 16** Information with respect to any employers who withdrew from the plan during the preceding plan year:

a Enter the number of employers who withdrew during the preceding plan year.....

16a

b If line 16a is greater than 0, enter the aggregate amount of withdrawal liability assessed or estimated to be assessed against such withdrawn employers.....

16b

- 17** If assets and liabilities from another plan have been transferred to or merged with this plan during the plan year, check box and see instructions regarding supplemental information to be included as an attachment..... ☐

Part VI Additional Information for Single-Employer and Multiemployer Defined Benefit Pension Plans

- 18** If any liabilities to participants or their beneficiaries under the plan as of the end of the plan year consist (in whole or in part) of liabilities to such participants and beneficiaries under two or more pension plans as of immediately before such plan year, check box and see instructions regarding supplemental information to be included as an attachment..... ☐

- 19** If the total number of participants is 1,000 or more, complete lines (a) through (c)

a Enter the percentage of plan assets held as:

Stock: 0.0 % Investment-Grade Debt: 67.2 % High-Yield Debt: 6.6 % Real Estate: 11.0 % Other: 15.2 %

b Provide the average duration of the combined investment-grade and high-yield debt:

☐ 0-3 years ☐ 3-6 years ☐ 6-9 years ☐ 9-12 years ☐ 12-15 years ☒ 15-18 years ☐ 18-21 years ☐ 21 years or more

c What duration measure was used to calculate line 19(b)?

☒ Effective duration ☐ Macaulay duration ☐ Modified duration ☐ Other (specify):

- 20 PBGC missed contribution reporting requirements.** If this is a multiemployer plan or a single-employer plan that is not covered by PBGC, skip line 20.

a Is the amount of unpaid minimum required contributions for all years from Schedule SB (Form 5500) line 40 greater than zero? ☐ Yes ☐ No

b If line 20a is "Yes," has PBGC been notified as required by ERISA sections 4043(c)(5) and/or 303(k)(4)? Check the applicable box:

☐ Yes.

☐ No. Reporting was waived under 29 CFR 4043.25(c)(2) because contributions equal to or exceeding the unpaid minimum required contribution were made by the 30th day after the due date.

☐ No. The 30-day period referenced in 29 CFR 4043.25(c)(2) has not yet ended, and the sponsor intends to make a contribution equal to or exceeding the unpaid minimum required contribution by the 30th day after the due date.

☐ No. Other. Provide explanation _____



Rio Tinto America Inc. Retirement Plan

Financial Statements and
Supplemental Schedules
As of and For the Years Ended
December 31, 2021 and 2020

Rio Tinto America Inc. Retirement Plan

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Independent Auditor's Report

The Rio Tinto America Inc. Benefits Governance Committee of
Rio Tinto America Inc. Retirement Plan
South Jordan, Utah

Scope and Nature of the ERISA Section 103(a)(3)(C) Audit

We have performed audits of the financial statements of Rio Tinto America Inc. Retirement Plan (the Plan), an employee benefit plan subject to the Employee Retirement Income Security Act of 1974 (ERISA), as permitted by ERISA Section 103(a)(3)(C). The financial statements comprise the statements of net assets available for benefits as of December 31, 2021 and 2020, and the related statements of changes in net assets available for benefits for the years then ended, and the related notes to the financial statements.

Management, having determined it is permissible in the circumstances, has elected to have the audits of the Plan's financial statements performed in accordance with ERISA Section 103(a)(3)(C) pursuant to 29 CFR 2520.103-8 of the Department of Labor's (DOL) Rules and Regulations for Reporting and Disclosure under ERISA (ERISA Section 103(a)(3)(C) audit). As permitted by ERISA Section 103(a)(3)(C), our audits need not extend to any statements or information related to assets held for investment of the Plan (investment information) by a bank or similar institution or insurance carrier that is regulated, supervised, and subject to periodic examination by a state or federal agency (qualified institution), provided that the investment information is prepared and certified to by the qualified institution in accordance with 29 CFR 2520.103-5 of the DOL's Rules and Regulations for Reporting and Disclosure under ERISA.

Management has obtained certifications from a qualified institution as of December 31, 2021 and 2020, and for the years then ended, stating that the certified investment information, as described in Note 4 to the financial statements, is complete and accurate.

Opinion

In our opinion, based on our audits and the procedures performed as described in the *Auditor's Responsibilities for the Audit of the Financial Statements* section of our report:

- the amounts and disclosures in the accompanying financial statements, other than those agreed to or derived from the certified investment information, are presented fairly, in all material respects, in accordance with accounting principles generally accepted in the United States of America (GAAP); and
- the certified investment information in the accompanying financial statements agrees to, or is derived from, in all material respects, the information prepared and certified by qualified institutions that management determined meet the requirements of ERISA Section 103(a)(3)(C).



Basis for Opinion

We conducted our audits in accordance with auditing standards generally accepted in the United States of America (GAAS). Our responsibilities under those standards are further described in the *Auditor's Responsibilities for the Audit of the Financial Statements* section of our report. We are required to be independent of the Plan and to meet our other ethical responsibilities, in accordance with the relevant ethical requirements relating to our audits. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our ERISA Section 103(a)(3)(C) audit opinion.

Responsibilities of Management for the Financial Statements

Management is responsible for the preparation and fair presentation of the financial statements in accordance with GAAP, and for the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error. Management's election of the ERISA Section 103(a)(3)(C) audit does not affect management's responsibility for the financial statements.

In preparing the financial statements, management is required to evaluate whether there are conditions or events, considered in the aggregate, that raise substantial doubt about the Plan's ability to continue as a going concern within one year after the date that the financial statements are issued or available to be issued.

Management is responsible for maintaining a current plan instrument, including all plan amendments. Management is also responsible for administering the Plan and determining that the Plan's transactions that are presented and disclosed in the financial statements are in conformity with the Plan's provisions, including maintaining sufficient records with respect to each of the participants, to determine the benefits due or which may become due to such participants.

Auditor's Responsibilities for the Audit of the Financial Statements

Except as described in the *Scope and Nature of the ERISA Section 103(a)(3)(C) Audit* section of our report, our objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes our opinion. Reasonable assurance is a high level of assurance but is not absolute assurance and therefore is not a guarantee that an audit conducted in accordance with GAAS will always detect a material misstatement when it exists. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control. Misstatements are considered material if, there is a substantial likelihood that, individually or in the aggregate, they would influence the judgment made by a reasonable user based on the financial statements.

In performing an audit in accordance with GAAS, we:

- Exercise professional judgment and maintain professional skepticism throughout the audit.



- Identify and assess the risks of material misstatement of the financial statements, whether due to fraud or error, and design and perform audit procedures responsive to those risks. Such procedures include examining, on a test basis, evidence regarding the amounts and disclosures in the financial statements.
- Obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Plan's internal control. Accordingly, no such opinion is expressed.
- Evaluate the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluate the overall presentation of the financial statements.
- Conclude whether, in our judgment, there are conditions or events, considered in the aggregate, that raise substantial doubt about the Plan's ability to continue as a going concern for a reasonable period of time.

Our audits did not extend to the certified investment information, except for obtaining and reading the certifications, comparing the certified investment information with the related information presented and disclosed in the financial statements, and reading the disclosures relating to the certified investment information to assess whether they are in accordance with the presentation and disclosure requirements of GAAP.

Accordingly, the objective of an ERISA Section 103(a)(3)(C) audit is not to express an opinion about whether the financial statements as a whole are presented fairly, in all material respects, in accordance with GAAP.

We are required to communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit, significant audit findings, and certain internal control-related matters that we identified during the audit.

Emphasis of Matter – Plan Mergers

As discussed in Note 1 to the financial statements, the governing body of the Plan approved the merger of the U.S. Borax Inc. Retirement Plan for Represented Employees and Kennecott Utah Copper Pension Plan for Represented Hourly Employees into the Plan effective December 31, 2020. Our opinion is not modified with respect to this matter.

Other Matter –Supplemental Schedules Required by ERISA

The supplemental Schedule H, Line 4i - Schedule of Assets (Held at End of Year) as of December 31, 2021, Schedule H, Line 4j - Schedule of Reportable Transactions for the year ended December 31, 2021 and Schedule G - Part III - Schedule of Non-Exempt Transactions are presented for purpose of additional analysis and are not a required part of the financial statements but are supplementary information required by the DOL's Rules and Regulations for Reporting and Disclosure under ERISA. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information included in the supplemental schedules, other than that agreed to or derived from the certified investment information, has been subjected to auditing procedures applied in the audits



of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with GAAS. For information included in the supplemental schedules that agreed to or is derived from the certified investment information, we compared such information to the related certified investment information.

In forming our opinion on the supplemental schedules, we evaluated whether the supplemental schedules, other than the information agreed to or derived from the certified investment information, including their form and content, are presented in conformity with the DOL's Rules and Regulations for Reporting and Disclosure under ERISA.

In our opinion:

- the form and content of the supplemental schedules, other than the information in the supplemental schedules that agreed to or is derived from the certified investment information, are presented, in all material respects, in conformity with the DOL's Rules and Regulations for Reporting and Disclosure under ERISA.
- the certified investment information in the supplemental schedules agrees to, or are derived from, in all material respects, the information prepared and certified by qualified institutions that management determined meet the requirements of ERISA Section 103(a)(3)(C).

BDO USA, LLP

October 14, 2022

Rio Tinto America Inc. Retirement Plan

Statements of Net Assets Available for Benefits

<i>December 31,</i>	<i>2021</i>	<i>2020</i>
Assets		
Investments, at fair value (Note 6)	\$1,257,063,560	\$ -
Non-interest bearing cash	5,938,874	-
Receivables:		
Due from broker	32,516,444	-
Interest	6,374,230	-
Other	487,753	-
Plan interest in the Rio Tinto America Master Retirement Trust (Note 5)	-	988,207,003
Total receivables	39,378,427	-
Total assets	1,302,380,861	988,207,003
Liabilities		
Accrued expenses	(794,763)	(199,054)
Due to brokers for securities purchased	(172,624,744)	-
Derivatives	(145,380,590)	-
Other payables	(68,411)	-
Total liabilities	(318,868,508)	(199,054)
Net assets available for benefits	\$ 983,512,353	\$ 988,007,949

See accompanying notes to financial statements.

Rio Tinto America Inc. Retirement Plan

Statements of Changes in Net Assets Available for Benefits

<i>For the Years Ended December 31,</i>	2021	2020
Additions:		
Investment income:		
Net appreciation in fair value of investments	\$ 17,765,627	\$ -
Interest and dividends	23,503,866	-
Other income	3,185,310	-
Total net investment income	44,454,803	-
Plan interest in the Rio Tinto America Master Retirement Trust investment income	-	110,537,040
Total additions	44,454,803	110,537,040
Deductions:		
Benefits paid to participants and beneficiaries, net of redeposits	(41,684,896)	(33,808,574)
Administrative expenses	(7,265,503)	(2,482,410)
Total deductions	(48,950,399)	(36,290,984)
Net (decrease) increase, prior to transfers and annuity purchase	(4,495,596)	74,246,056
Transfers in due to Plan mergers	-	249,644,726
Annuity purchase	-	(158,716)
Net assets available for benefits, beginning of year	988,007,949	664,275,883
Net assets available for benefits, end of year	\$ 983,512,353	\$ 988,007,949

See accompanying notes to financial statements.

Rio Tinto America Inc. Retirement Plan

Notes to Financial Statements

1. Description of the Plan

The following description of Rio Tinto America Inc. Retirement Plan (the “Plan”) provides only general information. Participants should refer to the Plan document for a more complete description of the Plan’s provisions.

General

The Plan was established by Rio Tinto America Inc. (the “Company”). The Plan is a noncontributory defined benefit pension plan covering all eligible employees and former employees of the Company (including participants of merged plans), subsidiaries and affiliates of Rio Tinto America Holdings Inc. as designated in Appendix A of the Plan document as participating companies (the “Participating Companies” and together with the Company, the “Employer”), and Affiliated Employers (as defined in the Plan document). Additional former Participating Companies are referenced in the plan documents of the merged plans.

Currently, the Company and the Participating Companies are subsidiaries of Rio Tinto America Holdings Inc., which is an indirect, wholly-owned subsidiary of Rio Tinto plc (the “Parent”). The Plan is intended to be a qualified retirement plan under the Internal Revenue Code (“IRC”) and is subject to the provisions of Employee Retirement Income Security Act of 1974 (“ERISA”), as amended. Prior to November 1, 2020, the Company appointed Conduent HR Services to be the third party administrator of the Plan. Effective November 1, 2020, the Company appointed Aon Consulting, Inc. to be the third party administrator of the Plan. The Plan is administered by the Rio Tinto America Inc. Benefits Governance Committee (the “Plan Administrator”).

The Plan is closed to all new participants (including hires, rehires and transfers) effective as noted below.

Through December 31, 2020, the Plan participated in the Rio Tinto America Master Retirement Trust (“Master Trust”), which was created to hold the qualified defined benefit investment assets of the Plan and other plans sponsored by the Parent’s subsidiaries. The Company appointed State Street Bank and Trust Company (“Trustee”), to be the trustee of the Master Trust and to invest and manage assets of the related plans.

Effective January 1, 2021, the Plan was amended to transfer the assets from the Master Trust to a new single trust and the trust name was changed to the Rio Tinto America Inc. Retirement Plan Trust (“RTA Trust”). State Street Bank and Trust Company remained the Trustee of the RTA Trust as appointed by the Company and the Rio Tinto America Inc. Pension Investment Committee (“Investment Committee”).

Plan Mergers

Effective December 31, 2020, the U.S. Borax Inc. Retirement Plan for Represented Employees (“Borax Plan”) and Kennecott Utah Copper Pension Plan for Represented Employees (“Kennecott Plan”) were merged into the Plan. Investment balances and accrued plan expenses of \$249,704,931 and \$(60,205), respectively, were legally transferred to and assumed by the Plan on December 31, 2020. Previously, in 2019, the Rio Tinto Alcan Pension Plan was merged into the Plan. There was no physical transfer of assets as all the plans were invested in the same master trust.

Rio Tinto America Inc. Retirement Plan

Notes to Financial Statements

Previous Annuity Buy Outs

The Plan (and previously merged plans which are now part of this Plan) entered into, and were amended to reflect, various group annuity contract purchases, under which the entire benefit rights of annuitized individuals are fully guaranteed by the respective insurance company contract issuer, legally enforceable by the annuitized individuals, and guaranteed by way of an irrevocable commitment to pay benefit liabilities to the annuitized individuals. Funds under these contracts have been allocated and applied to the purchase of these annuities, and the related benefit obligations are excluded from the Plan's investments and present value of the accumulated plan benefit obligations. As a result of a previous annuity buy out, an additional amount was owed to Met Tower Life of \$158,716 in 2020.

History and Pension Benefits - Rio Tinto America

Effective April 1, 2007, the Plan was closed to new participants (except as noted below). Therefore, employees who are hired, rehired or transferred by the Employer or Affiliated Employers (who otherwise would have been eligible under the Plan) after March 31, 2007, are generally not eligible for participation in the Plan.

The Plan was amended effective November 1, 2020 to eliminate the minimum one-year marriage requirement prior to participant's death or annuity start date to be eligible for benefit and eliminated the adjustment to spousal benefits for spouses more than ten years younger than the participant.

Participants are eligible for monthly benefit payments upon reaching normal retirement age (age 65). Pension payments are calculated using the final average monthly earnings based upon the highest 36 consecutive months (out of the last 120 months of employment with the Employer or Affiliated Employers), which produce the highest aggregate eligible compensation. The amount of the monthly benefit is based upon the participant's final average earnings and eligible benefit service.

The normal forms of retirement benefits available under the Plan are a monthly life annuity for a single participant or, for a married participant, a 50 percent qualified joint and survivor annuity. Participants will receive a lump-sum distribution in the event the actuarial present value of the participant's entire vested benefit is \$5,000 or less. A reduced early retirement benefit is available after attainment of age 55 and completion of five years of vesting service.

A participant vests fully in retirement benefits after performing five years of vesting service, upon reaching normal retirement age while still employed by the Participating Employers, or termination of the Plan.

Pension Benefits - Historical AlcanCorp Plan

Participants are entitled to annual pension benefits at normal retirement age (65 with five years of service). Benefit accruals were frozen for all participants effective as of June 30, 2013 although participants continue to accrue vesting service.

Rio Tinto America Inc. Retirement Plan

Notes to Financial Statements

The Plan permits early retirement when the sum of the participant's age plus the participant's years of service equals 75 or more, or if the participant reaches age 55 with five years of service. The early retirement benefit is the product of the normal retirement benefit multiplied by a factor based on the number of years the participant's early retirement precedes the normal retirement date.

The Plan also provides for disability, termination and pre-retirement spouse benefits for participants meeting certain age and length of service requirements. There is also a provision for a postretirement spouse benefit that generally does not require a reduction in the participant's benefit.

Pension Benefits - Historical Alcan Combined Plan

Participants are entitled to annual pension benefits at normal retirement (age 65). Benefit accruals were frozen for all participants effective December 31, 2011.

The Plan generally permits early retirement if the participant reached age 60 with five years of service. The early retirement benefit is the product of the normal retirement benefit multiplied by a factor based on age and early commencement.

The Plan also provides for disability, termination and pre-retirement spousal benefits for participants meeting certain age and length of service requirements.

History and Pension Benefits - Historical Kennecott Plan

Effective January 1, 2018, the Plan was closed to new participants. Therefore, represented employees who are hired, rehired, or transferred to a represented role by the Kennecott Utah Copper after the closure date, are generally not eligible for participation in the Plan.

Participants are eligible for monthly benefit payments upon reaching normal retirement age. Normal retirement is the earlier of attaining age 65 and attainment of the 5th anniversary of original date of hire or attainment of 70th birthday, or 30 years of continuous service. Monthly pension benefits are calculated by applying a flat dollar multiplier to eligible service based on dollar amounts agreed to in the applicable Collective Bargaining Agreements. Generally, the monthly benefit multiplier is based on the year of termination of employment from the Company. Participants terminating employment from January 1, 2016 through March 31, 2017 received \$47 for each year of eligible service. Employees terminating employment on or after April 1, 2017 received \$48 a month per years of eligible service, and this rate increased by \$1 increments on January 1st each following year, through 2021.

The normal forms of retirement benefits available under the Plan are a single life annuity for a single participant or, for a married participant, a qualified 55 percent joint and survivor annuity. Participants receive a lump-sum distribution in the event that the actuarial present value of the participant's entire vested benefit are \$1,000 or less. An early retirement benefit is available after attainment of age 60 and completion of between 10 and 30 years of continuous service.

A participant is fully vested in the plan benefits after five years of continuous service with the Participating Employers or upon termination of the Plan.

Rio Tinto America Inc. Retirement Plan

Notes to Financial Statements

History and Pension Benefits - Historical Borax Plan

The Plan covers represented employees at the Boron and Wilmington locations, which are each represented by a separate bargaining union. The Plan was closed to new hires and rehires effective May 17, 2010 for Boron Represented Employees and June 17, 2011 for Wilmington Represented Employees. Therefore, employees who are hired, rehired, or transferred to a represented role by the U.S. Borax Inc. after the closure dates, are generally not eligible for participation in the Plan.

Participants are eligible for monthly retirement benefit payments upon reaching normal retirement age (age 65). Pension payments are calculated using years of pensionable service, as defined. Pensionable service is based upon 1,800 hours each calendar year. Participants receive varying monthly benefit amounts based on years of pensionable service and a monthly flat dollar multiplier as agreed to in the applicable Collective Bargaining Agreements. Generally, the monthly benefit multiplier is based on the year of termination of employment from the Company. For Boron Participants, the monthly benefit multiplier amount per year of service is \$75 as of November 4, 2006, and for all future benefits. Effective June 19, 2021, the Company entered into a Collective Bargaining Agreement with the Boron Union whereby, the pension multiplier was increased \$1 per year from the effective date of the agreement through 2027 (from \$75 to \$82). For Wilmington Participants, the monthly benefit multiplier amount per year of services is \$76 on June 17, 2017, and will continue to increase by one dollar increments every July 1st through 2021 (from \$76 to \$80).

The normal forms of retirement benefits available under the Plan are a monthly life annuity or, for a married participant, a qualified 50 percent joint and survivor annuity. Participants receive a lump-sum distribution in the event that the actuarial present value of the participant's entire vested benefit is \$5,000 or less. Participants can elect to receive retirement benefits after attainment of age 55. Benefit payments can be reduced for early commencement.

A participant who completes less than five years of vesting service and who has not attained age 55 while employed by the Company is not entitled to a benefit under the Plan. A Participant become s fully vested upon attainment of age 55 while employed by the Company or completion of five years of vesting service, whichever occurred first.

Termination of the Plan

Although it has not expressed any intention to do so, the Company has the right under the Plan to discontinue its contributions at any time and to terminate the Plan subject to the provisions set forth in the ERISA.

In the event the Plan terminates, the net assets of the Plan will be allocated, as prescribed by ERISA and its related regulations, generally to provide the following benefits in the order indicated:

- a. Annuity benefits which former participants or their beneficiaries have been receiving for at least three years, or employees eligible to retire for that three-year period would have been receiving if they had retired with benefits in the normal form of annuity under the Plan. The priority amount is limited to the lowest benefit which was payable (or would have been payable) during those three years. The amount is further limited to the lowest benefit which would be payable under the Plan provisions in effect at any time during the five years preceding Plan termination;
- b. Other vested benefits insured by the Pension Benefit Guaranty Corporation ("PBGC") (a U.S. government agency) up to the applicable limitations (discussed below);

Rio Tinto America Inc. Retirement Plan

Notes to Financial Statements

- c. All other vested benefits (vested benefits not insured by the PBGC);
- d. All non-vested benefits.

Certain benefits under the Plan are insured by the PBGC if the Plan terminates. Generally, the PBGC guarantees most vested normal age retirement benefits, early retirement benefits, and certain disability and survivors' pensions. However, the PBGC does not guarantee all types of benefits under the Plan, and the amount of benefit protection is subject to certain limitations. Vested benefits under the Plan are guaranteed at the level in effect on the date of the Plan's termination.

Whether all participants receive their benefits should the Plan terminate at some future time will depend on the sufficiency, at that time, of the Plan's net assets to provide for accumulated benefit obligations and may also depend on the financial condition of the Company and the level of benefits guaranteed by the PBGC.

2. Summary of Significant Accounting Policies

Basis of Presentation

The financial statements of the Plan reflect transactions on the accrual basis of accounting.

Use of Estimates

The preparation of financial statements in accordance with accounting principles generally accepted in the United States of America requires plan management to make estimates and assumptions which affect the reported amounts of assets and liabilities and changes therein, disclosure of contingent assets and liabilities, and the actuarial present value of accumulated plan benefits at the date of the financial statements. Actual results could differ from those estimates.

Plan contributions are made and the actuarial present value of accumulated plan benefits is reported based on certain assumptions pertaining to interest rates, inflation rates, and employee compensation and demographics, all of which are subject to change. Due to uncertainties inherent in the estimations and assumptions process, it is at least reasonably possible changes in these estimates and assumptions in the near-term could be material to the financial statements.

Risks and Uncertainties

The Plan invests in various investment securities. Investment securities are exposed to various risks, such as interest rate, market, currency exchange rate, and credit risks. Due to the level of risk associated with certain investment securities, it is reasonably possible that changes in the values of investment securities will occur in the near-term and such changes could materially affect the amounts reported by the Plan.

Plan contributions are made, and the actuarial present value of accumulated plan benefits are reported based on certain assumptions pertaining to interest rates, inflation rates, and employee demographics, all of which are subject to change. Due to uncertainties inherent in the estimations and assumptions process, it is at least reasonably possible that changes in these estimates and assumptions in the near term would be material to the financial statements.

Rio Tinto America Inc. Retirement Plan

Notes to Financial Statements

The Plan invests in securities with contractual cash flows, such as futures contracts, forward contracts, credit default swaps, interest rate swaps and options. The value, liquidity and related income of these securities are sensitive to changes in economic conditions, delinquencies and/or defaults, and may be adversely affected by a shift in the market's perception of the issuers and changes in interest rates.

The macroeconomic impacts stemming from the conflict in Ukraine, and the potential impact and duration of the COVID-19 pandemic, continuing supply chain issues and rising inflation has continued to cause volatility in the markets. Any future impact on investments or the Plan's funded status remains uncertain.

Investment Valuation and Income Recognition

Investments are reported at fair value. Fair value is the price which would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. The Investment Committee determines the Plan's investment valuation policies, utilizing information provided by the investment advisors and Trustee. See Note 6 for a discussion of fair value measurements.

Interest income is recorded on the accrual basis, and dividends are recorded on the ex-dividend date. Purchases and sales of investments are recorded on a trade-date basis. Net appreciation includes the Plan's gains and losses on investments bought and sold as well as held during the year.

Valuation of Investment in Master Trust

The Master Trust was a multiple-plan trust, ownership of which was divided among the participating plans based on allocated units of participation. Each participation unit had a value equal to the total fair value of the Master Trust's net assets divided by the total participation units outstanding. As a result of the mergers of the Borax Plan and Kennecott Plan into the Plan effective December 31, 2021, the Master Trust was dissolved, effective January 1, 2021 as all net assets are now held in the RTA Trust.

The Plan had an undivided interest in the Master Trust's underlying investments. The Plan's investment in the Master Trust was stated at fair value. The Plan's interest in the Master Trust was based on the beginning-of-year value of the Plan's interest in the Master Trust, plus actual contributions and allocated investment income (loss), less actual distributions and actual and allocated investment-related expenses. The net investment income (loss) and investment-related expenses attributable to the Master Trust, which were not plan-specific, were allocated by the Trustee to the Plan based on the Plan's pro rata share of each of the underlying assets of the Master Trust on a monthly basis. The Plan presented in the statements of changes in net assets available for benefits its interest in the net investment income or loss of the Master Trust, which consisted of the realized gains or losses, unrealized appreciation or depreciation, interest, dividends of the Master Trust's investments, and allocated expenses.

Funding Policy

The Company contributes to the Plan at such times and in such amounts as considered necessary so contributions are sufficient to provide benefits as actuarially calculated under the terms of the Plan. The Company's current funding policy is to pay contributions with the goal of eliminating the PBGC variable rate premium.

Rio Tinto America Inc. Retirement Plan

Notes to Financial Statements

Contributions to the Plan are designed to fund at least the minimum required contributions as specified by ERISA and determined under IRC section 430(a). The minimum contribution is determined as of the beginning of the plan year, and all contributions are discounted at the effective interest rate from the date funded to the beginning of the plan year. The Company may elect to use all or a portion of any funding standard carryover balance or prefunding balance to offset the minimum required contribution for a plan year depending on the Plan's funded status.

The Plan is "not-at-risk" for 2021, thus allowing the use of a more favorable interest rate corridor in determining the minimum required contribution. Adjustment to the statutory interest rates specified under IRC section 430 were first introduced by the Moving Ahead for Progress in the 21st Century Act ("MAP-21") and subsequently modified by the Highway and Transportation Funding Act of 2014 ("HATFA").

The Plan met all minimum funding requirements. Under the law, the minimum required contribution for the 2021 and 2020 plan years, respectively, was \$13,656,787 and \$17,173,386. The minimum contribution for the 2021 and 2020 plan years was satisfied fully by an application of prefunding balances. Therefore, there were no contributions made to the Plan during the years ended December 31, 2021 and 2020.

Benefit restrictions under IRC section 436 depend on the Plan's Adjusted Funding Target Attainment Percentage ("AFTAP"). For 2021 and 2020, the Plan's AFTAP was 118.84 percent and 112.15 percent, respectively. As this exceeded 90 percent and the plan sponsor is not in bankruptcy, there were no restrictions on amendments increasing benefits, accelerated payments, or future accruals.

The American Rescue Plan Act of 2021 provides a range of options for the effective date of alternative interest rate stabilization rules and a 15-year amortization period for any shortfall amortization basis. The Plan elected to: 1) First apply the alternative interest rates for minimum funding for the January 1, 2021 plan year, and 2) apply the 15-year amortization period for the January 1, 2021 plan year.

Payment of Benefits

Benefits are recorded when paid by the Plan.

Administrative Expenses

The Company pays a portion of the costs and expenses incurred in administering the Plan, with the Plan paying the remaining costs and expenses. The Company provides accounting and other services for the Plan at no cost to the Plan. Expenses paid directly by the Company are excluded from these financial statements, unless reimbursed by the Plan.

Tax Status

The Internal Revenue Service determined and informed the Company by a letter dated July 16, 2015, the Plan is designed in accordance with the applicable requirements of the IRC. The Plan has been amended since receiving the determination letter; however, the Plan Administrator believes the Plan is designed and is currently being operated in compliance with the applicable requirements of the IRC, and therefore believes that the Plan is tax-exempt.

Rio Tinto America Inc. Retirement Plan

Notes to Financial Statements

The Plan Administrator has evaluated the Plan's tax positions and concluded the Plan had taken no uncertain tax positions which would require adjustment to the financial statements or disclosures. Therefore, no provision or liability for income taxes has been included in the financial statements. The Plan is subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax years in progress.

Subsequent Events

The Plan Administrator evaluated subsequent events and transactions through October 14, 2022, the date which the financial statements were available to be issued. No events, other than those noted below, require recognition or disclosure.

Historical Kennecott Plan - Effective March 31, 2022, the Company entered into a Collective Bargaining Agreement with the Kennecott Unions whereby, the pension multiplier was increased \$1 per year each January 1st for the duration of the agreement date of the agreement through 2027 (from \$52 to \$57).

Historical Borax Plan - Effective August 6, 2022, the Company entered into a Collective Bargaining Agreement with the Wilmington Union whereby, the pension multiplier was increased \$5 to \$85. There will be no additional increases to the multiplier over the term of the agreement through 2027.

3. Actuarial Present Value of Accumulated Plan Benefits

Accumulated plan benefits are those future periodic payments, including lump-sum distributions, attributable under the Plan's provisions to the service employees have rendered. Accumulated plan benefits include benefits expected to be paid to (a) retired or terminated employees with vested rights or their beneficiaries, (b) beneficiaries of employees who have died, and (c) present employees or their beneficiaries. Benefits payable under all circumstances—retirement, death, disability and termination of employment—are included to the extent they are deemed attributable to employee service rendered prior to the valuation date.

The actuarial present value of accumulated plan benefits was calculated by consulting actuaries and is the amount that results from applying actuarial assumptions to adjust the accumulated plan benefits to reflect the time value of money (through discounts for interest) and the probability of payment (by means of decrements such as for death, disability, withdrawal or retirement) between the valuation date and the expected future payment dates.

The actuarial valuation was done by using the beginning-of-the-year method; therefore, the accumulated plan benefits as of December 31, 2020, are presented from information provided by the actuary as of January 1, 2021. There were no significant changes in the Plan's provisions or coverage from December 31, 2020 to January 1, 2021.

Rio Tinto America Inc. Retirement Plan

Notes to Financial Statements

The more significant assumptions underlying the actuarial computations as of December 31, 2020, are as follows:

Investment return	4.10% per annum
Mortality table used	Pri-2012 white collar table with generational mortality projected by Scale MP-2021 for salaried participants; Pri-2012 blue collar table with generational mortality projected by Scale MP-2021 for hourly participants
Retirement rates and average retirement age	Rates increasing from 3% to 100% between ages 50 and 70, and an average retirement age of 62, 63, 60 and 62 for the Plan, the former Alcan Plan, the Kennecott Plan and the Borax Plan, respectively, for active and terminated vested participants
Withdrawal rates	Rates for pre-retirement ages that vary by age and employee group.

The foregoing actuarial assumptions are based on the presumption the Plan will continue. Were the Plan to terminate, different actuarial assumptions and other factors might be applicable in determining the actuarial present value of accumulated plan benefits.

The actuarial present value of accumulated plan benefits as of December 31, 2020, is summarized as follows:

Actuarial present value for accumulated plan benefits:	
Vested benefits:	
Participants currently receiving benefits	\$ 409,199,091
Other participants	380,638,534
	789,837,625
Nonvested benefits	18,031,337
Total actuarial present value of accumulated plan benefits, at December 31, 2020	\$ 807,868,962

Below is a summary of significant changes in the actuarial present value of accumulated plan benefits for the year ended December 31, 2020:

Actuarial present value of accumulated plan benefits, at beginning of year	\$ 539,427,097
Increase (decrease) during the year attributed to:	
Benefits paid	(33,808,574)
Interest accumulation	25,613,523
Borax and Kennecott Plan Mergers	225,523,954
Change in actuarial assumptions*	47,931,445
Other changes**	3,181,517
Net change	268,441,865
Actuarial present value of accumulated plan benefits, at end of year	\$ 807,868,962

Rio Tinto America Inc. Retirement Plan

Notes to Financial Statements

*The most significant changes in actuarial assumptions were the following: a change in the Investment Return from 4.90 percent to 4.10 percent; a change in the mortality assumption from the Pri-2012 white collar table with generational mortality projected by Scale MP-2020 for salaried participants and the Pri-2012 blue collar table with generational mortality projected by Scale MP-2020 for hourly participants to the Pri-2012 white collar table with generational mortality projected by Scale MP-2021 for salaried participants and the Pri-2012 blue collar table with generational mortality projected by Scale MP-2021 for hourly participants; a change in the salary scale assumption from 3.50 percent to 3.60 percent; and a change in the future wage indices from 2.50 percent to 2.60 percent.

**The other changes component represents the normal operation of the pension plan. The normal operation of the pension plan consists primarily of the increase due to the ongoing benefit accruals (if any) and those items of plan experience that are not associated with plan asset performance.

The actuarial present value of the accumulated plan benefits at December 31, 2020 was estimated to increase by approximately \$191,300,000 as a result of the mergers of the Borax and Kennecott plans into the Plan; however the actual merger impact was an increase of \$225,500,000.

4. Certified Investment Information

Certain information related to investments disclosed in the accompanying financial statements, including investments held at December 31, 2021 and 2020 and net appreciation (depreciation) in fair value of investments, interest and dividends for the years ended December 31, 2021 and 2020 (except for the investments and related investment income in partnerships, joint ventures and the real estate commingled fund) was certified as complete and accurate by the Trustee, a qualified institution. This financial information was obtained or derived from the certified trust statements in accordance with ERISA Section 103 (a)(3)(C), pursuant to 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.

At the request of the Plan Administrator, the Plan's independent auditors did not perform auditing procedures with respect to this certified investment information, except for comparing the certified investment information with the related information presented and disclosed in the financial statements and supplemental schedules, reading the disclosures relating to the investment information to assess whether they are in accordance with the presentation and disclosure requirements of GAAP and whether the supplemental schedules are in conformity with the DOL's Rules and Regulations for Reporting and Disclosure under ERISA.

5. Interest in Master Trust

The Master Trust financial information disclosed below and in Note 6 represents 100 percent of the Master Trust net assets and the related changes in net assets in which the Plan has an undivided interest as of and for the year ended December 31, 2020.

Rio Tinto America Inc. Retirement Plan

Notes to Financial Statements

The net assets of the Master Trust as of December 31, 2020, are as follows:

Unaudited			
<i>December 31, 2020</i>			
	Master Trust		Plan
Assets:			
Cash	\$	3,169,572	\$ 3,169,572
Investment at fair value:			
Fixed income investments:			
Commingled funds		4,751,437	4,751,437
Corporate bonds		421,029,707	421,029,707
Foreign government securities		20,823,204	20,823,204
U.S. government securities		374,204,964	374,204,964
Derivatives (Note 8)		105,629,662	105,629,662
Common stocks		937	937
Partnership / joint ventures		183,728,904	183,728,904
Real estate commingled fund		43,457,868	43,457,868
Interest-bearing cash and cash equivalents		25,509,469	25,509,469
Loans secured by mortgages		61,758,120	61,758,120
Preferred stock		50,994	50,994
Cash collateral		4,351,000	4,351,000
Total investments, fair value		1,245,296,266	1,245,296,266
Receivables:			
Interest receivable		6,375,075	6,375,075
Due from broker		72,971,784	72,971,784
Dividends receivable		439,945	439,945
Other receivables		1,053,838	1,053,838
Total receivables		80,840,642	80,840,642
Total assets		1,329,306,480	1,329,306,480
Liabilities:			
Due to broker		(235,477,779)	(235,477,779)
Derivatives (Note 8)		(105,075,023)	(105,075,023)
Accrued investment-related expenses		(471,976)	(471,976)
Other payables		(74,699)	(74,699)
Total liabilities		(341,099,477)	(341,099,477)
Net assets	\$	988,207,003	\$ 988,207,003

Rio Tinto America Inc. Retirement Plan

Notes to Financial Statements

The changes in the net assets and investment results of the Master Trust for the year ended December 31, 2020, is summarized as follows:

<i>December 31, 2020</i>			
	Master Trust		Plan
Investment results:			
Net appreciation	\$	123,612,969	\$ 92,465,227
Interest		23,577,772	17,649,622
Dividends		1,516,864	1,134,497
Currency gain/loss and other		3,114,911	2,332,074
		151,822,516	113,581,420
Investment related expenses		(4,065,461)	(3,044,380)
Net investment results		147,757,055	110,537,040
Net (redemptions) purchases		(47,682,535)	(36,476,016)
Transfer due to merger*		-	249,704,931
Annuity buy out, net of refunds (premium payments)		(172,766)	(158,716)
Net change in net assets		99,901,754	323,607,239
Net assets:			
Beginning of year		888,305,249	664,599,764
End of year	\$	988,207,003	\$ 988,207,003

*The Borax Plan and Kennecott Plan were merged into the Plan on December 31, 2020.

6. Fair Value Measurements

Accounting guidance provides the framework for measuring fair value. That framework provides a fair value hierarchy which prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets or liabilities (Level 1 measurements) and the lowest priority to unobservable inputs (Level 3 measurements). The three levels of the fair value hierarchy are described below:

Level 1: Inputs to the valuation methodology are unadjusted quoted prices for identical assets or liabilities in active markets that the Plan has the ability to access.

Level 2: Inputs to the valuation methodology include quoted market prices for similar assets or liabilities in active markets; quoted prices for identical or similar assets or liabilities in inactive markets; inputs other than quoted prices that are observable for the asset or liability; and inputs that are derived principally from or corroborated by observable market data by correlation or other means. If the asset or liability has a specified (contractual) term, the Level 2 input must be observable for substantially the full term of the asset or liability.

Level 3: Inputs to the valuation methodology are unobservable and significant to the fair value measurement.

Rio Tinto America Inc. Retirement Plan

Notes to Financial Statements

The assets or liability's fair value measurement level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. Valuation techniques maximize the use of relevant observable inputs and minimize the use of unobservable inputs.

Following is a description of the valuation methodologies used for assets within the RTA Trust and the Master Trust, as applicable, measured at fair value. There have been no significant changes in the methodologies used at December 31, 2021 and 2020.

Fixed-Income Securities

Fixed-income securities consist of U.S. and foreign government securities, mortgage-backed securities, options, corporate bonds and other obligations. These securities are valued based on pricing matrices or models from pricing vendors used by the Trustee. Commingled funds are valued based on the net asset value ("NAV") of units held at year-end as provided by the fund administrator.

Common and Preferred Stocks

Common and preferred stocks are valued based on the last sales price on the primary exchange.

Partnerships/Joint Ventures/Real Estate

Partnerships/joint ventures/real estate investments are valued based on the estimated fair value of the participation owned by the Plan (2021) and Master Trust (2020) as determined by the general partner or investment manager of the respective partnership. The NAV of these investments is based on the fair value of the underlying investments. The fair value of the underlying investments is estimated using techniques that may rely heavily on the investment managers' assumptions and qualitative observations. The valuation inputs for the underlying investments are derived primarily from estimated future cash flows, market rates for real estate assets, market interest rates, interest spreads, credit risk, liquidity and other financial data. The Trustee uses the fair valuations from the investment managers and the Investment Committee reviews and validates their valuation methods and processes throughout the year. The Trustee did not make any adjustments to any valuations. The Investment Committee establishes and follows valuation policies and procedures, and periodically evaluates the fair valuation policies and procedures of the specialized investment consultants who perform the valuations and requests and reviews the valuation policies of the investment managers and general partners annually.

This category includes 13 and 15 private equity funds as of December 31, 2021 and 2020, respectively. They are comprised of limited partnerships that invest in private equity, both domestically and internationally. Certain of these investments are considered illiquid and are meant to be held for the life of the funds but, if necessary, sales can be arranged through the secondary market. Distributions are received through the liquidation of the underlying assets of the funds. It is estimated that the underlying assets will be liquidated over the next several years, but no later than 9 years. Unfunded commitments of the Plan as of December 31, 2021 and Master Trust as of December 31, 2020 approximate \$29 million and \$38 million, respectively, for these funds.

This category also includes 6 investments in domestic and international real estate fund limited partnerships and one commingled real estate fund, for the years ended December 31, 2021 and 2020. The fair value of the limited partnerships is estimated using the NAV of the Plan's (2021) and Master Trust's (2020) ownership interest in partners' capital. The valuation inputs of these investments are derived from third-party appraisals. Certain of these investments are considered

Rio Tinto America Inc. Retirement Plan

Notes to Financial Statements

illiquid, but sales can be arranged on the secondary market. Distributions from each fund are received as income is generated through the investments and as the underlying assets of the funds are liquidated. It is estimated that the underlying assets will be liquidated over the next several years, but no later than 6 years. Unfunded commitments of the Plan as of December 31, 2021 and Master Trust as of December 31, 2020 approximate \$2 million and \$16 million, respectively, for these 6 investments. The commingled real estate fund is valued based on the NAV of units held at year-end as provided by the fund manager.

Interest-Bearing Cash and Cash Equivalents

Interest-bearing cash is valued at cost plus accrued income, which approximates fair value measured by similar assets in active markets.

Loans Secured by Mortgages

Loans secured by mortgages are valued on the basis of their principal and interest payments discounted at prevailing interest rates for similar investments.

Derivatives and Cash Collateral

Futures contracts, credit default swaps, interest rate swaps, and other derivatives are valued based on pricing matrices or models from pricing vendors used by the Trustee. See Note 8 for additional disclosures.

Rio Tinto America Inc. Retirement Plan

Notes to Financial Statements

The following table set forth by level, within the fair value hierarchy, the Plan's fair value measurements as of December 31, 2021:

Investments at Fair Value as of December 31, 2021				
Asset Category:	Level 1	Level 2	Level 3	Total
Fixed income securities:				
Corporate bonds	\$ -	\$ 418,232,124	\$ -	\$ 418,232,124
Foreign government securities	-	16,062,311	-	16,062,311
U.S. government securities	-	378,837,415	-	378,837,415
Derivatives	-	142,737,556	-	142,737,556
Common stocks	19	-	-	19
Partnership / joint ventures	-	-	185,306,111	185,306,111
Real estate commingled fund	-	-	50,804,689	50,804,689
Interest-bearing cash and cash equivalents	-	27,559,502	-	27,559,502
Loans secured by mortgages	-	23,373,207	-	23,373,207
Preferred stocks	-	3,123,359	-	3,123,359
Cash collateral	-	7,558,000	-	7,558,000
Total assets in the fair value hierarchy	\$ 19	\$ 1,017,483,474	\$ 236,110,800	\$ 1,253,594,293

Investments measured at NAV as a practical expedient (a) :

Fixed income investments, Commingled funds	\$ 3,469,267
Total investments measured at NAV as a practical expedient	\$ 3,469,267
Total investment assets at fair value	\$ 1,257,063,560

Liability Category:	Level 1	Level 2	Level 3	Total
Fixed income investments:				
Derivatives	\$ -	\$ (145,380,590)	\$ -	\$ (145,380,590)
Total investment liabilities at fair value	\$ -	\$ (145,380,590)	\$ -	\$ (145,380,590)

Rio Tinto America Inc. Retirement Plan

Notes to Financial Statements

The following table set forth by level, within the fair value hierarchy, the Master Trust's fair value measurements as of December 31, 2020:

Investments at Fair Value as of December 31, 2020				
Asset Category:	Level 1	Level 2	Level 3	Total
Fixed income securities:				
Corporate bonds	\$ -	\$ 421,029,707	\$ -	\$ 421,029,707
Foreign government securities	-	20,823,204	-	20,823,204
U.S. government securities	-	374,204,964	-	374,204,964
Derivatives	-	105,629,662	-	105,629,662
Common stocks	937	-	-	937
Partnership / joint ventures	-	-	183,728,904	183,728,904
Real estate commingled fund	-	-	43,457,868	43,457,868
Interest-bearing cash and cash equivalents	-	25,509,469	-	25,509,469
Loans secured by mortgages	-	61,758,120	-	61,758,120
Preferred stocks	-	50,994	-	50,994
Cash collateral	-	4,351,000	-	4,351,000
Total assets in the fair value hierarchy	\$ 937	\$ 1,013,357,120	\$ 227,186,772	\$ 1,240,544,829

Investments measured at NAV as a practical expedient (a) :

Fixed income investments, Commingled funds	\$ 4,751,437
Total investments measured at NAV as a practical expedient	\$ 4,751,437
Total investment assets at fair value	\$ 1,245,296,266

Liability Category:	Level 1	Level 2	Level 3	Total
Fixed income investments:				
Derivatives	\$ -	\$ (105,075,023)	\$ -	\$ (105,075,023)
Total investment liabilities at fair value	\$ -	\$ (105,075,023)	\$ -	\$ (105,075,023)

(a) In accordance with Subtopic 820-10, certain investments that are measured at fair value using the net asset value per share (or its equivalent) practical expedient have not been classified in the fair value hierarchy. The fair value amounts presented in this table are intended to permit reconciliation of the fair value hierarchy to the amounts presented in the statements of net assets available for benefits.

The Plan's Level 3 investment activity included purchases of \$5,251,102 and sales of (\$38,576,082) for the year ended December 31, 2021, and the Master Trust's level 3 investment activity included purchases of \$10,919,827 and sales of (\$17,772,445) for the year ended December 31, 2020. There were no transfers in or out of Level 3 investments for the years ended December 31, 2021 and 2020.

The methods described above may produce a fair value calculation that may not be indicative of net realizable value or reflective of future fair values. Furthermore, while the Plan (2021) and Master Trust (2020) believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date and could be material to the Plan's financial statements.

Rio Tinto America Inc. Retirement Plan

Notes to Financial Statements

The availability of observable market data is monitored to assess the appropriate classification of financial instruments within the fair value hierarchy. Changes in economic conditions or valuation techniques may require the transfer of investments from one fair value level to another.

The Plan follows guidance on how entities should estimate fair value of certain alternative investments. The fair value of investments within the scope of the guidance can be determined using NAV per share as a practical expedient, when fair value is not readily determinable, unless it is probable the investment will be sold at something other than NAV.

The following tables include categories of investments within the Plan that measure NAV per share (or its equivalent) as a practical expedient, as of December 31, 2021:

2021				
	Fair Value	Unfunded Commitment	Redemption Frequency	Redemption Notice Period
Asset category:				
Fixed-income investments				
Commingled funds (a)	\$ 3,469,267	\$ -	Immediate	None

The following tables include categories of investments within the Master Trust that measure NAV per share (or its equivalent) as a practical expedient, as of December 31, 2020:

2020				
	Fair Value	Unfunded Commitment	Redemption Frequency	Redemption Notice Period
Asset category:				
Fixed-income investments				
Commingled funds (a)	\$ 4,751,437	\$ -	Immediate	None

- (a) Commingled funds - The objective of these investments is to seek current income and total return by investing in a diversified portfolio of fixed-income investments of varying maturities.

7. Related Party and Party-in-Interest Transactions

The Plan (2021) invests and the Master Trust (2020) invested in the following investments managed by the Trustee or affiliated companies that qualify as party-in-interest transactions:

December 31,	2021	2020
State Street Bank & Trust Co. Short Term Investment Fund	\$ 27,559,502	\$ 25,509,469
AXA Early Secondary Fund V	8,958,976	9,598,177
AXA Capital Europe	481,395	500,373
AXA Capital America LP	424,427	429,291
AXA Secondary Fund V	187,729	174,631
State Street Corp JR Subordinated	154,618	158,595
State Street Corp Preferred Stock	49,158	50,994
AXA Private Equity Fund	9,853	16,967

Rio Tinto America Inc. Retirement Plan

Notes to Financial Statements

Fees paid by the Plan during 2021 and the Master Trust during 2020 for investment-related, administrative and custodial expenses to the Trustee and affiliated companies amounted to approximately \$250,000 and \$326,000 for the years ended December 31, 2021 and 2020, respectively. Fees paid by the Plan during 2021 or the Master Trust during 2020 for investment management services were included as a reduction of the return earned on each investment. Certain other administrative functions are performed by officers or employees of the Parent and affiliates, for which no compensation is received from the Plan.

These transactions are not, however, considered prohibited transactions under Section 408(b) of the ERISA regulations.

8. Derivative Financial Statements

As of December 31, 2021 and 2020, a fixed-income manager of the Plan utilizes derivative financial instruments, including but not limited to, futures contracts, credit default swaps and interest rate swaps. This manager uses these financial instruments to manage exposure to interest rate and credit risks and to achieve the overall desired duration under the Plan's fixed-income mandate. Changes in the fair value (i.e., gains or losses) of the derivatives are recorded in the investment income (loss) in the accompanying Statements of Changes in Net Assets Available for Benefits.

Futures contracts are used to adjust interest rate exposures and replicate government bond positions. Many offer opportunity to outperform due to active management of the liquid portfolio backing the exposure. These contracts are valued using a marked approach based on quoted prices, recent trading activity for identical or similar instruments or broker or dealer quotes with reasonable levels of price transparency.

Credit default swaps are used to manage credit exposure without buying or selling securities outright. Written credit default swaps increase credit exposure ("selling protection"), obligating the portfolio to buy bonds from counterparties in the event of a default. Purchased credit default swaps decrease exposure ("buying protection"), providing the right to "put" bonds to the counterparty in the event of a default.

The maximum potential amount of future payments (undiscounted) that the Plan as a seller of protection could be required to make under a credit default swap agreement would be an amount equal to the notional amount of the agreement. Notional amounts of all credit default swap agreements outstanding as of December 31, 2021 and 2020, for which the Plan is a seller of protection, are disclosed below. These potential amounts would be partially offset by any recovery values of the respective referenced obligations, up-front payments received upon entering into the agreement, or net amounts received from the settlement of buy protection credit default swap agreements entered into by the Plan for the same referenced entity or entities.

Interest rate swap agreements involve the exchange by the Plan with a counterparty of their respective commitments to pay or receive interest, e.g., an exchange of floating-rate payments for fixed-rate payments, with respect to the notional amount of principal. These swaps are used to adjust interest rate and yield curve exposure and substitute for physical securities. Long swap positions ("received fixed") increase exposure to long-term interest rates; short positions ("pay fixed") decrease exposure. Notional amounts of all interest rate swap agreements outstanding as of December 31, 2021 and 2020, are disclosed below.

Rio Tinto America Inc. Retirement Plan

Notes to Financial Statements

The notional values of futures contracts, credit default swaps and interest rate swaps, which are summarized below, provide an indication of the extent of the Plan's involvement in such instruments. Notional amounts of derivative financial instruments do not necessarily represent amounts exchanged by parties and, therefore, are not a direct measure of the Plan's exposure from its use of derivatives.

The gross and net fair value of the other derivatives held by the Plan and Master Trust as of December 31, 2021 and 2020, respectively, were not material, and were not included in the tables below.

	As of December 31, 2021			For the Year Ended December 31, 2021	Classification of Gain (Loss)
	Notional Amount	Assets	Liabilities	Gain (Loss)	
Futures Contracts	\$ 46,487,513	\$ 238,397	\$ 136,328	\$ (122,343)	Interest Income
Credit Default Swaps	1,046,185	66,373,220	(65,321,364)	493,707	Interest Income
Interest Rate Swaps	(2,236,449)	74,381,544	(76,626,485)	(2,069,771)	Interest Income
Total	\$ 45,297,249	\$ 140,993,161	\$ (141,811,521)	\$ (1,698,407)	

	As of December 31, 2020			For the Year Ended December 31, 2020	Classification of Gain (Loss)
	Notional Amount	Assets	Liabilities	Gain (Loss)	
Futures Contracts	\$ 49,025,111	\$ 348,711	\$ (96,603)	\$ 252,108	Plan interest in MT income
Credit Default Swaps	4,403,959	29,095,278	(28,805,175)	859,347	Plan interest in MT income
Interest Rate Swaps	849,090,000	75,723,906	(75,482,827)	318,748	Plan interest in MT income
Total	\$ 902,519,070	\$ 105,167,895	\$ (104,384,605)	\$ 1,430,203	

9. Concentrations

At December 31, 2021 and 2020 there were no investments and one investment which individually represented more than 10% of net assets available for benefits of the Plan and the Master Trust, respectively.

Rio Tinto America Inc. Retirement Plan Trust

Schedule H, Line 4i - Schedule of Assets (Held at End of Year) - As of December 31, 2021

(a)	(b)/(c)	(c)	(d)	(e)
Identity of Issuer, Borrower, Lessor or Similar Party	Description of Investment including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Interest Rate	Cost - Base	Market Value - Base
Cash				
POUND STERLING		0.000000	\$ 427,558	\$ 429,925
MEXICAN PESO (NEW)		0.000000	640,825	642,459
BRAZILIAN REAL		0.000000	99,280	100,375
AUSTRALIAN DOLLAR		0.000000	8,988	9,206
CANADIAN DOLLAR		0.000000	2,599	2,731
CANADIAN DOLLAR		0.000000	320,655	320,686
POLISH ZLOTY		0.000000	2,654	2,679
SWISS FRANC		0.000000	1	1
US DOLLAR		0.000000	817,961	817,961
US DOLLAR		0.000000	705,326	705,326
SOUTH KOREAN WON		0.000000	42	40
TURKISH LIRA		0.000000	14	8
JAPANESE YEN		0.000000	522	512
SINGAPORE DOLLAR		0.000000	2,404	2,391
YUAN RENMINBI OFFSHORE		0.000000	3,005,510	3,005,385
NORWEGIAN KRONE		0.000000	508	367
RUSSIAN RUBLE		0.000000	84,013	83,182
EURO CURRENCY		0.000000	(6,084)	(8,514)
HUNGARIAN FORINT		0.000000	145,222	136,615
SOUTH AFRICAN RAND		0.000000	441,579	423,493
YUAN RENMINBI		0.000000	(2,920,720)	(2,998,444)
EURO CURRENCY		0.000000	2,253,083	2,139,773
ARGENTINE PESO		0.000000	376,179	240,430
Total Cash				6,056,587
Forwards				
BRAZILIAN REAL				63,765
SOL				27,431
BRAZILIAN REAL				23,835
SWISS FRANC				12,751
INDIAN RUPEE				9,118
INDONESIAN RUPIAH				7,131
RUSSIAN RUBLE				5,659
INDIAN RUPEE				5,475
MEXICAN PESO (NEW)				5,378
RUSSIAN RUBLE				5,157
BRAZILIAN REAL				4,977
RUSSIAN RUBLE				4,967
RUSSIAN RUBLE				4,599
INDIAN RUPEE				4,374
INDIAN RUPEE				3,863
RUSSIAN RUBLE				3,617
RUSSIAN RUBLE				2,594
INDONESIAN RUPIAH				1,734
SOUTH AFRICAN RAND				1,721
INDONESIAN RUPIAH				1,657
SOUTH AFRICAN RAND				1,448
CANADIAN DOLLAR				1,426
SOUTH AFRICAN RAND				1,358
SOUTH AFRICAN RAND				1,254
MEXICAN PESO (NEW)				1,157

Rio Tinto America Inc. Retirement Plan Trust

Schedule H, Line 4i - Schedule of Assets (Held at End of Year) - As of December 31, 2021

(a)	(b)/(c)	(c)	(d)	(e)
Identity of Issuer, Borrower, Lessor or Similar Party	Description of Investment including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Interest Rate	Cost - Base	Market Value - Base
	SOUTH AFRICAN RAND			1,091
	POLISH ZLOTY			1,071
	INDONESIAN RUPIAH			1,055
	SOUTH AFRICAN RAND			861
	EURO CURRENCY			687
	SOUTH AFRICAN RAND			618
	RUSSIAN RUBLE			602
	SOUTH AFRICAN RAND			598
	RUSSIAN RUBLE			589
	RUSSIAN RUBLE			515
	RUSSIAN RUBLE			439
	RUSSIAN RUBLE			357
	INDONESIAN RUPIAH			356
	SOUTH AFRICAN RAND			345
	RUSSIAN RUBLE			312
	RUSSIAN RUBLE			283
	RUSSIAN RUBLE			242
	RUSSIAN RUBLE			241
	RUSSIAN RUBLE			237
	RUSSIAN RUBLE			175
	RUSSIAN RUBLE			148
	RUSSIAN RUBLE			104
	EURO CURRENCY			(34)
	MEXICAN PESO (NEW)			(394)
	MEXICAN PESO (NEW)			(865)
	MEXICAN PESO (NEW)			(2,031)
	SWISS FRANC			(2,877)
	MEXICAN PESO (NEW)			(4,339)
	POLISH ZLOTY			(8,625)
	POLISH ZLOTY			(10,849)
	AUSTRALIAN DOLLAR			(14,980)
	CHILEAN PESO			(20,962)
	COLOMBIAN PESO			(46,872)
	EURO CURRENCY			(57,360)
	BRAZILIAN REAL			(64,851)
	POUND STERLING			(100,046)
	Total Forwards			(117,713)
	Total Cash and Forwards			5,938,874
	Interest Bearing Cash			
	* STATE STREET BANK + TRUST CO SHORT TERM INVESTMENT FUND	0.000000	26,467,334	26,467,334
	* STATE STREET BANK + TRUST CO SHORT TERM INVESTMENT FUND	1.000000	8	8
	* STATE STREET BANK + TRUST CO SHORT TERM INVESTMENT FUND	1.000000	826	826
	* STATE STREET BANK + TRUST CO SHORT TERM INVESTMENT FUND	0.000000	1,085,584	1,085,583
	* STATE STREET BANK + TRUST CO SHORT TERM INVESTMENT FUND	1.000000	5,751	5,751
	Total Interest Bearing Cash			27,559,502
	Common Stock			
	COMPUTER LEARNING CENTERS COMMON STOCK USD.01	0.000000	-	19
	Total Common Stock			19

Rio Tinto America Inc. Retirement Plan Trust

Schedule H, Line 4i - Schedule of Assets (Held at End of Year) - As of December 31, 2021

(a)	(b)/(c)	(c)	(d)	(e)
Identity of Issuer, Borrower, Lessor or Similar Party Description of Investment including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value		Interest Rate	Cost - Base	Market Value - Base
Fixed Income				
* STATE STREET CORP JR SUBORDINA 12/99 VAR		5.625000	150,000	154,618
WEYERHAEUSER CO SR UNSECURED 03/32 7.375		7.375000	1,282,572	1,692,107
WELLS FARGO + COMPANY SUBORDINATED 11/43 5.375		5.375000	1,112,797	1,460,991
SYNGENTA FINANCE NV COMPANY GUAR 144A 04/48 5.676		5.676000	1,642,850	1,981,068
ONEOK INC COMPANY GUAR 07/48 5.2		5.200000	1,388,584	1,701,293
SAUDI ELECTRICITY GLOBAL SR UNSECURED 144A 04/43 5.06		5.060000	3,023,402	3,317,693
BANK OF AMERICA CORP SR UNSECURED 12/28 VAR		3.419000	2,142,645	2,403,351
ONEOK PARTNERS LP COMPANY GUAR 10/37 6.85		6.850000	578,592	808,373
CODELCO INC SR UNSECURED REGS 10/43 5.625		5.625000	685,111	914,587
BANK OF AMERICA CORP SR UNSECURED 04/42 VAR		3.311000	4,100,000	4,329,415
NATWEST GROUP PLC JR SUBORDINA 12/99 VAR		5.125000	2,761,080	2,990,118
SABINE PASS LIQUEFACTION SR SECURED 05/30 4.5		4.500000	1,695,648	1,921,058
BROADCOM INC COMPANY GUAR 11/32 4.3		4.300000	1,747,795	1,971,555
CVS HEALTH CORP SR UNSECURED 04/50 4.25		4.250000	999,830	1,216,241
VISA INC SR UNSECURED 12/45 4.3		4.300000	798,664	1,012,136
MANULIFE FINANCIAL CORP SR UNSECURED 03/46 5.375		5.375000	498,225	705,484
AMERICAN INTL GROUP SR UNSECURED 07/45 4.8		4.800000	694,827	901,918
VMWARE INC SR UNSECURED 05/30 4.7		4.700000	1,096,073	1,282,833
BROADCOM INC COMPANY GUAR 11/30 4.15		4.150000	1,658,157	1,844,370
GE CAPITAL INTL FUNDING COMPANY GUAR 11/35 4.418		4.418000	1,051,857	1,235,061
STRYKER CORP SR UNSECURED 03/46 4.625		4.625000	597,117	773,717
CME GROUP INC SR UNSECURED 09/43 5.3		5.300000	524,120	698,404
CROWN CASTLE INTL CORP SR UNSECURED 02/49 5.2		5.200000	600,148	774,349
MASS INSTITUTE OF TECH UNSECURED 07/16 3.885		3.885000	1,488,569	1,662,123
TESCO PROPERTY FIN 1 PLC SR SECURED REGS 07/39 7.6227		7.622700	475,785	643,500
DUKE ENERGY CORP SR UNSECURED 12/45 4.8		4.800000	697,648	864,138
DELL INT LLC / EMC CORP SR UNSECURED 10/29 5.3		5.300000	891,889	1,056,930
ELECTRICITE DE FRANCE SA SR UNSECURED 144A 10/45 4.95		4.950000	644,880	807,399
DEUTSCHE BANK NY SUBORDINATED 01/32 VAR		3.729000	6,811,581	6,967,251
TEACHERS INSUR + ANNUITY SUBORDINATED 144A 05/47 4.27		4.270000	697,760	851,030
BROOKFIELD FINANCE INC COMPANY GUAR 04/30 4.35		4.350000	1,098,883	1,242,780
DELL INT LLC / EMC CORP SR UNSECURED 06/26 6.02		6.020000	898,195	1,041,815
CVS HEALTH CORP SR UNSECURED 03/48 5.05		5.050000	574,774	716,138
KINDER MORGAN ENER PART COMPANY GUAR 03/43 5		5.000000	796,176	936,251
MOODY S CORPORATION SR UNSECURED 07/44 5.25		5.250000	406,652	546,333
HSBC HOLDINGS PLC JR SUBORDINA 12/99 VAR		6.500000	2,730,025	2,868,723
ANTHEM INC SR UNSECURED 03/48 4.55		4.550000	492,318	628,031
ENERGY TRANSFER LP SR UNSECURED 02/43 5.15		5.150000	312,948	443,391
BARCLAYS PLC JR SUBORDINA 12/99 VAR		8.000000	1,200,000	1,329,336
VALE OVERSEAS LIMITED COMPANY GUAR 11/39 6.875		6.875000	812,000	940,961
WILLIAMS COMPANIES INC SR UNSECURED 03/44 5.4		5.400000	247,125	374,974
ANHEUSER BUSCH INBEV WOR COMPANY GUAR 04/48 4.6		4.600000	794,741	921,185
HCA INC COMPANY GUAR 06/47 5.5		5.500000	400,000	526,293
HOLCIM CAPITAL CORP COMPANY GUAR 144A 09/43 6.5		6.500000	316,626	442,661
ENTERPRISE PRODUCTS OPER COMPANY GUAR 02/48 4.25		4.250000	898,785	1,024,660
BRISTOL MYERS SQUIBB CO SR UNSECURED 10/49 4.25		4.250000	495,790	621,634
SOUTHERN CALIF GAS CO 1ST MORTGAGE 01/49 4.3		4.300000	499,775	625,116
CHARTER COMM OPT LLC/CAP SR SECURED 04/48 5.75		5.750000	379,880	501,461
JPMORGAN CHASE + CO SR UNSECURED 02/48 VAR		4.260000	500,451	620,961
GOLDMAN SACHS GROUP INC SR UNSECURED 04/39 VAR		4.411000	600,000	719,692
WASHINGTON GAS LIGHT CO SR UNSECURED 09/49 3.65		3.650000	897,234	1,016,124
KINDER MORGAN ENER PART COMPANY GUAR 03/41 6.375		6.375000	748,469	865,580

Rio Tinto America Inc. Retirement Plan Trust

Schedule H, Line 4i - Schedule of Assets (Held at End of Year) - As of December 31, 2021

(a)	(b)/(c)	(c)	(d)	(e)
Identity of Issuer, Borrower, Lessor or Similar Party				
Description of Investment including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value				
		Interest Rate	Cost - Base	Market Value - Base
CON EDISON CO OF NY INC SR UNSECURED 12/45 4.5		4.500000	599,400	712,757
COMCAST CORP COMPANY GUAR 11/49 3.999		3.999000	599,675	709,981
CARLYLE FINANCE LLC COMPANY GUAR 144A 09/48 5.65		5.650000	299,742	409,889
T MOBILE USA INC SR SECURED 04/50 4.5		4.500000	597,450	705,678
KINDER MORGAN ENER PART COMPANY GUAR 03/44 5.5		5.500000	446,463	554,673
CHARTER COMM OPT LLC/CAP SR SECURED 10/35 6.384		6.384000	1,038,618	1,143,831
AMERICAN FINANCIAL GROUP SR UNSECURED 06/47 4.5		4.500000	611,330	716,447
HOME DEPOT INC SR UNSECURED 02/44 4.875		4.875000	295,518	397,715
SOUTHERN CAL EDISON 1ST REF MORT 04/47 4		4.000000	1,549,840	1,651,974
TIME WARNER CABLE LLC SR SECURED 09/42 4.5		4.500000	648,312	750,424
FORD MOTOR CREDIT CO LLC SR UNSECURED 11/23 3.37		3.370000	3,099,628	3,200,750
HESS CORP SR UNSECURED 01/40 6		6.000000	410,136	510,149
BACARDI LTD COMPANY GUAR 144A 05/38 5.15		5.150000	398,552	496,938
FAIRFAX FINL HLDGS LTD SR UNSECURED 04/30 4.625		4.625000	800,000	897,885
ANHEUSER BUSCH INBEV WOR COMPANY GUAR 01/39 5.45		5.450000	299,166	394,242
CITIGROUP INC SR UNSECURED 04/26 VAR		3.106000	1,900,000	1,993,948
FEDEX CORP COMPANY GUAR 11/45 4.75		4.750000	396,316	490,092
PFIZER INC SR UNSECURED 09/40 5.6		5.600000	470,924	564,571
SABINE PASS LIQUEFACTION SR SECURED 03/25 5.625		5.625000	825,000	916,915
BAT CAPITAL CORP COMPANY GUAR 08/37 4.39		4.390000	886,546	978,427
HCA INC COMPANY GUAR 06/49 5.25		5.250000	295,584	387,285
COX COMMUNICATIONS INC SR UNSECURED 144A 02/35 4.8		4.800000	499,820	591,089
VERIZON COMMUNICATIONS SR UNSECURED 03/41 3.4		3.400000	1,699,014	1,787,897
DUKE ENERGY PROGRESS LLC 1ST MORTGAGE 10/46 3.7		3.700000	698,215	786,266
BOEING CO SR UNSECURED 02/28 3.25		3.250000	1,999,560	2,087,296
NBCUNIVERSAL MEDIA LLC COMPANY GUAR 01/43 4.45		4.450000	361,157	447,291
BNP PARIBAS SR UNSECURED 144A 01/31 VAR		3.052000	2,800,000	2,886,105
NEW YORK LIFE INSURANCE SUBORDINATED 144A 05/69 4.45		4.450000	299,682	385,261
LLOYDS BANKING GROUP PLC SR UNSECURED 08/28 4.55		4.550000	598,188	683,514
CIGNA CORP COMPANY GUAR 12/48 4.9		4.900000	713,988	799,301
T MOBILE USA INC SR SECURED 04/40 4.375		4.375000	490,125	573,968
CHARLES SCHWAB CORP JR SUBORDINA 12/99 VAR		5.375000	900,000	983,250
ENTERGY LOUISIANA LLC COLLATERAL T 04/50 4.2		4.200000	397,172	478,879
PRUDENTIAL FINANCIAL INC SR UNSECURED 02/50 4.35		4.350000	752,991	834,595
WELLS FARGO + COMPANY JR SUBORDINA 12/99 VAR		3.900000	3,003,851	3,084,375
VODAFONE GROUP PLC SR UNSECURED 05/38 5		5.000000	294,312	374,481
NATWEST GROUP PLC SR UNSECURED 01/30 VAR		5.076000	501,164	580,881
WEYERHAEUSER CO SR UNSECURED 04/30 4		4.000000	590,820	670,487
BERKSHIRE HATHAWAY ENERG SR UNSECURED 02/45 4.5		4.500000	346,994	426,275
DUKE ENERGY CORP SR UNSECURED 08/47 3.95		3.950000	366,072	444,673
CON EDISON CO OF NY INC SR UNSECURED 04/50 3.95		3.950000	496,690	574,840
PACIFIC LIFE INSURANCE C SUBORDINATED 144A 10/67 VAR		4.300000	498,143	575,942
AERCAP IRELAND CAP/GLOBA COMPANY GUAR 02/24 3.15		3.150000	1,986,580	2,064,009
XLIT LTD COMPANY GUAR 03/45 5.5		5.500000	198,230	275,451
BANCO SANTANDER SA SR UNSECURED 05/25 2.746		2.746000	2,200,000	2,276,698
MARSH + MCLENNAN COS INC SR UNSECURED 03/39 4.75		4.750000	299,733	375,708
NEWMONT CORP COMPANY GUAR 06/44 5.45		5.450000	459,744	535,517
SOUTHWESTERN ELEC POWER SR UNSECURED 03/40 6.2		6.200000	622,770	696,273
MASS INSTITUTE OF TECH UNSECURED 12/99 5.6		5.600000	588,549	661,930
ORACLE CORP SR UNSECURED 03/41 3.65		3.650000	3,277,758	3,350,142
CONAGRA BRANDS INC SR UNSECURED 11/38 5.3		5.300000	310,113	381,207
ANTHEM INC SR UNSECURED 12/47 4.375		4.375000	419,147	489,976
CITIZENS FINANCIAL GROUP JR SUBORDINA 12/99 VAR		5.650000	696,950	767,375

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BROOKFIELD FINANCE INC COMPANY GUAR 09/47 4.7		4.700000	300,401	370,546
ENERGY TRANSFER LP SR UNSECURED 02/42 6.5		6.500000	189,312	258,882
KILROY REALTY LP COMPANY GUAR 02/30 3.05		3.050000	757,114	826,564
ALABAMA POWER CO SR UNSECURED 07/48 4.3		4.300000	297,741	365,696
UNITEDHEALTH GROUP INC SR UNSECURED 08/49 3.7		3.700000	430,237	497,891
OHIO NAT FINANCIAL SRVS SR UNSECURED 144A 01/30 5.8		5.800000	499,660	567,230
APTIV PLC COMPANY GUAR 03/49 5.4		5.400000	199,116	266,422
BERKSHIRE HATHAWAY ENERG SR UNSECURED 07/48 3.8		3.800000	495,885	563,157
ABBVIE INC SR UNSECURED 05/46 4.45		4.450000	297,984	364,866
ANHEUSER BUSCH INBEV WOR COMPANY GUAR 04/58 4.75		4.750000	307,017	373,443
AMGEN INC SR UNSECURED 10/41 4.95		4.950000	310,506	376,590
SOUTHERN CAL EDISON 1ST REF MORT 03/43 3.9		3.900000	363,141	429,170
UNITEDHEALTH GROUP INC SR UNSECURED 12/48 4.45		4.450000	704,400	770,212
CHENIERE CORP CHRISTI HD SR SECURED 06/27 5.125		5.125000	500,000	564,873
L3HARRIS TECH INC SR UNSECURED 04/45 5.054		5.054000	200,000	264,074
SUZANO AUSTRIA GMBH COMPANY GUAR 144A 03/47 7		7.000000	190,988	253,655
NATWEST GROUP PLC SR UNSECURED 05/30 VAR		4.445000	500,000	562,587
CONNECTICUT LIGHT + PWR 1ST REF MORT 04/48 4		4.000000	299,271	361,026
UNICREDIT SPA JR SUBORDINA REGS 12/99 VAR		7.500000	1,578,360	1,639,371
TENCENT HOLDINGS LTD SR UNSECURED 144A 04/41 3.68		3.680000	2,543,875	2,604,880
POTOMAC ELECTRIC POWER 1ST MORTGAGE 03/43 4.15		4.150000	408,128	468,128
OCCIDENTAL PETROLEUM COR SR UNSECURED 09/36 6.45		6.450000	712,594	772,582
HUDSON PACIFIC PROPRTIE COMPANY GUAR 04/29 4.65		4.650000	506,230	566,151
CHARTER COMM OPT LLC/CAP SR SECURED 05/47 5.375		5.375000	300,339	359,967
FLORIDA POWER + LIGHT CO 1ST MORTGAGE 03/48 3.95		3.950000	298,380	357,913
SOUTHERN CAL EDISON 1ST REF MORT 03/48 4.125		4.125000	280,055	338,474
PERTAMINA PERSERO PT SR UNSECURED 144A 05/42 6		6.000000	2,133,802	2,192,035
SOUTHERN CAL EDISON 1ST REF MORT 01/34 6		6.000000	1,242,920	1,300,430
GENERAL MOTORS CO SR UNSECURED 04/48 5.4		5.400000	199,854	256,593
UBS GROUP AG SR UNSECURED 144A 04/26 4.125		4.125000	598,674	655,219
NORFOLK SOUTHERN CORP SR UNSECURED 01/46 4.65		4.650000	198,654	255,042
REYNOLDS AMERICAN INC COMPANY GUAR 08/45 5.85		5.850000	310,265	366,327
AMAZON.COM INC SR UNSECURED 05/41 2.875		2.875000	1,195,476	1,251,366
KANSAS CITY SOUTHERN COMPANY GUAR 05/50 3.5		3.500000	694,456	750,017
ABBVIE INC SR UNSECURED 05/35 4.5		4.500000	521,600	576,766
GLP CAPITAL LP / FIN II COMPANY GUAR 01/29 5.3		5.300000	399,940	454,644
MICRON TECHNOLOGY INC SR UNSECURED 02/30 4.663		4.663000	349,979	403,881
MARRIOTT INTERNATIONAL SR UNSECURED 06/30 4.625		4.625000	397,516	450,882
AMERICAN AIRLINES/AADVAN SR SECURED 144A 04/26 5.5		5.500000	1,821,500	1,874,574
GOLDMAN SACHS GROUP INC SUBORDINATED 05/45 5.15		5.150000	509,567	561,895
CITIGROUP INC SR UNSECURED 04/29 VAR		4.075000	500,000	552,268
DELL INT LLC / EMC CORP SR UNSECURED 10/26 4.9		4.900000	398,972	451,061
UDR INC COMPANY GUAR 07/27 3.5		3.500000	698,348	750,303
UNUM GROUP SR UNSECURED 08/42 5.75		5.750000	317,016	368,953
EQUITABLE HOLDINGS INC SR UNSECURED 04/48 5		5.000000	199,414	251,203
DEUTSCHE BANK NY SR UNSECURED 11/25 VAR		3.961000	900,000	951,234
TESCO PROPERTY FIN 5 PLC SR SECURED REGS 10/41 5.6611		5.661100	120,459	171,602
BARCLAYS PLC JR SUBORDINA REGS 12/99 VAR		7.250000	516,544	567,553
CREDIT SUISSE AG SUBORDINATED 144A 08/23 6.5		6.500000	704,200	755,059
CYRUSONE LP/CYRUSONE FIN COMPANY GUAR 11/29 3.45		3.450000	598,254	648,381
ENTERGY MISSISSIPPI LLC 1ST MORTGAGE 06/51 3.5		3.500000	709,639	759,673
GOODMAN US FIN FOUR COMPANY GUAR 144A 10/37 4.5		4.500000	299,520	349,508
MPLX LP SR UNSECURED 04/58 4.9		4.900000	181,944	231,750

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EMERA US FINANCE LP COMPANY GUAR 06/46 4.75		4.750000	305,804	355,362
HSBC HOLDINGS PLC SR UNSECURED 03/26 4.3		4.300000	499,275	548,687
TRUST FIBRAUNO SR UNSECURED 144A 01/50 6.39		6.390000	418,750	467,804
CONSTELLATION BRANDS INC COMPANY GUAR 02/48 4.1		4.100000	390,960	439,073
BAYER US FINANCE II LLC COMPANY GUAR 144A 06/48 4.875		4.875000	199,312	247,201
ONCOR ELECTRIC DELIVERY SR SECURED 04/45 3.75		3.750000	1,069,508	1,117,394
NISOURCE INC SR UNSECURED 02/45 5.65		5.650000	359,718	407,248
ANHEUSER BUSCH INBEV WOR COMPANY GUAR 01/49 5.55		5.550000	613,624	660,870
AVALONBAY COMMUNITIES SR UNSECURED 07/47 4.15		4.150000	199,998	247,137
BANK OF AMERICA CORP JR SUBORDINA 12/99 VAR		5.875000	398,726	445,500
TRUST F/1401 SR UNSECURED 144A 01/44 6.95		6.950000	198,250	244,781
KANSAS CITY SOUTHERN COMPANY GUAR 08/45 4.95		4.950000	337,577	384,038
SOUTHERN CAL EDISON 1ST MORTGAGE 06/51 3.65		3.650000	498,830	545,058
ORACLE CORP SR UNSECURED 03/61 4.1		4.100000	898,236	944,345
OGLETHORPE POWER CORP 1ST MORTGAGE 11/40 5.375		5.375000	717,340	763,162
KKR GROUP FINANCE CO VII COMPANY GUAR 144A 02/50 3.625		3.625000	386,662	432,260
ORACLE CORP SR UNSECURED 03/51 3.95		3.950000	998,250	1,043,745
NORFOLK SOUTHERN CORP SR UNSECURED 08/52 4.05		4.050000	221,305	266,252
ALLY FINANCIAL INC SR UNSECURED 11/31 8		8.000000	781,825	826,457
NORTHROP GRUMMAN CORP SR UNSECURED 10/47 4.03		4.030000	607,763	652,096
FORD MOTOR CREDIT CO LLC SR UNSECURED 03/24 5.584		5.584000	603,084	647,253
REGENCY CENTERS LP COMPANY GUAR 02/47 4.4		4.400000	322,952	367,050
NXP BV/NXP FDG/NXP USA COMPANY GUAR 144A 05/27 3.15		3.150000	798,408	842,394
AP MOLLER MAERSK A/S SR UNSECURED 144A 06/29 4.5		4.500000	298,164	342,020
SABINE PASS LIQUEFACTION SR SECURED 06/26 5.875		5.875000	300,866	344,683
CLECO CORPORATE HOLDINGS SR SECURED 05/46 4.973		4.973000	200,000	243,659
DIGITAL REALTY TRUST LP COMPANY GUAR 10/25 4.75		4.750000	400,000	443,385
STICHTING AK RABOBANK JR SUBORDINA REGS 12/49 VAR		6.500000	121,591	164,620
MASS MUTUAL LIFE INS CO SUBORDINATED 144A 10/70 3.729		3.729000	228,379	271,168
PFIZER INC SR UNSECURED 03/49 4		4.000000	698,530	741,215
DELTA AIR LINES INC SR SECURED 144A 05/25 7		7.000000	293,000	335,411
CONSUMERS ENERGY CO 1ST MORTGAGE 05/48 4.05		4.050000	197,942	240,019
FMR LLC SR UNSECURED 144A 11/39 6.45		6.450000	322,385	364,338
PUBLIC SERVICE COLORADO 1ST MORTGAGE 06/47 3.8		3.800000	298,776	340,423
SPRINT SPECTRUM / SPEC I SR SECURED 144A 09/29 5.152		5.152000	400,000	441,590
GREAT WEST LIFECO FINANC COMPANY GUAR 144A 06/47 4.15		4.150000	198,436	239,634
SAN DIEGO G + E 1ST MORTGAGE 05/48 4.15		4.150000	313,249	354,199
AMERICAN ASSETS TRUST LP COMPANY GUAR 02/31 3.375		3.375000	1,187,220	1,227,954
ROCKIES EXPRESS PIPELINE SR UNSECURED 144A 05/30 4.8		4.800000	899,406	939,614
BAYER US FINANCE II LLC COMPANY GUAR 144A 12/28 4.375		4.375000	295,596	335,652
CITIGROUP INC SR UNSECURED 07/28 VAR		3.668000	500,000	540,039
WELLS FARGO + COMPANY SUBORDINATED 12/46 4.75		4.750000	637,982	677,719
FISERV INC SR UNSECURED 07/29 3.5		3.500000	499,160	538,724
LLOYDS BANKING GROUP PLC JR SUBORDINA 12/99 VAR		7.500000	300,000	339,323
NIPPON LIFE INSURANCE SUBORDINATED 144A 10/44 VAR		5.100000	500,000	538,988
FEDEX CORP COMPANY GUAR 01/44 5.1		5.100000	267,333	306,157
NATWEST GROUP PLC JR SUBORDINA 12/99 VAR		6.000000	400,000	438,728
AMERICAN TOWER CORP SR UNSECURED 10/49 3.7		3.700000	1,248,610	1,287,009
MICRON TECHNOLOGY INC SR UNSECURED 02/29 5.327		5.327000	199,020	237,210
PUGET SOUND ENERGY INC 1ST MORTGAGE 06/48 4.223		4.223000	200,000	237,849
MPT OPER PARTNERSP/FINL COMPANY GUAR 06/28 3.692		3.692000	387,697	425,204
BROADCOM INC SR UNSECURED 144A 04/34 3.469		3.469000	1,074,131	1,111,611
SANTANDER UK GROUP HLDGS SR UNSECURED 11/28 VAR		3.823000	500,000	537,438

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SOUTHERN CO GAS CAPITAL COMPANY	GUAR 05/47 4.4	4.400000	313,419	350,851
ZOETIS INC SR UNSECURED	09/47 3.95	3.950000	198,816	236,244
SEMPRA ENERGY SR UNSECURED	02/48 4	4.000000	343,095	380,493
WELLS FARGO + COMPANY SR UNSECURED	05/28 VAR	3.584000	608,628	645,908
NISOURCE INC SR UNSECURED	05/47 4.375	4.375000	199,836	236,876
VIRGIN MEDIA SECURED FIN SR SECURED REGS	01/30 4.25	4.250000	366,690	403,608
HOST HOTELS + RESORTS LP SR UNSECURED	09/30 3.5	3.500000	786,136	822,999
JPMORGAN CHASE + CO JR SUBORDINA	12/99 VAR	4.600000	1,300,000	1,335,750
BAT CAPITAL CORP COMPANY GUAR	09/49 4.758	4.758000	369,270	404,939
HSBC HOLDINGS PLC SR UNSECURED	03/30 4.95	4.950000	199,750	235,136
HILTON DOMESTIC OPERATIN COMPANY GUAR	01/30 4.875	4.875000	500,000	535,145
SAN DIEGO G + E 1ST MORTGAGE	06/49 4.1	4.100000	441,148	475,934
OMEGA HLTHCARE INVESTORS COMPANY GUAR	01/28 4.75	4.750000	296,934	331,652
GILEAD SCIENCES INC SR UNSECURED	03/46 4.75	4.750000	188,245	222,958
BANK OF AMERICA CORP SR UNSECURED	07/52 VAR	2.972000	3,600,000	3,634,405
SYNGENTA FINANCE NV COMPANY GUAR	144A 04/28 5.182	5.182000	303,063	337,324
SUZANO AUSTRIA GMBH COMPANY GUAR	01/29 6	6.000000	198,128	231,800
WELLS FARGO + COMPANY JR SUBORDINA	12/49 VAR	5.900000	1,655,610	1,689,224
CAMPBELL SOUP CO SR UNSECURED	03/48 4.8	4.800000	116,845	150,374
KENTUCKY UTILITIES CO 1ST MORTGAGE	10/45 4.375	4.375000	203,690	237,207
ENERGY TRANSFER LP SR UNSECURED	04/49 6.25	6.250000	255,591	288,796
CREDIT SUISSE GROUP AG JR SUBORDINA	144A 12/99 VAR	7.250000	516,500	549,515
FARMERS INS EXCH SUBORDINATED	144A 11/57 VAR	4.747000	198,990	231,989
CELULOSE ARAUCO CONSTITU SR UNSECURED	11/47 5.5	5.500000	199,416	232,330
VODAFONE GROUP PLC SR UNSECURED	09/50 4.25	4.250000	240,322	272,929
DIAMONDBACK ENERGY INC COMPANY GUAR	03/31 3.125	3.125000	896,931	929,522
AMERICAN TOWER CORP SR UNSECURED	08/29 3.8	3.800000	621,654	653,971
BAIDU INC SR UNSECURED	04/25 3.075	3.075000	798,344	830,525
REGENCY CENTERS LP COMPANY GUAR	03/49 4.65	4.650000	561,469	593,513
CENTERPOINT ENERGY RES SR UNSECURED	09/47 4.1	4.100000	198,834	230,592
SANTANDER HOLDINGS USA SR UNSECURED	06/25 3.45	3.450000	598,824	630,258
FORD MOTOR CREDIT CO LLC SR UNSECURED	05/29 5.113	5.113000	247,831	278,801
ONEOK PARTNERS LP COMPANY GUAR	02/41 6.125	6.125000	222,731	253,504
IPALCO ENTERPRISES INC SR SECURED	05/30 4.25	4.250000	299,727	330,268
BGC PARTNERS INC SR UNSECURED	07/23 5.375	5.375000	497,580	527,908
WELLS FARGO + COMPANY SR UNSECURED	01/29 4.15	4.150000	614,629	644,743
AMERICAN TRANSMISSION SY SR UNSECURED	144A 09/44 5	5.000000	99,007	129,000
PRUDENTIAL FINANCIAL INC SR UNSECURED	03/51 3.7	3.700000	198,636	228,603
IDAHO POWER CO 1ST MORTGAGE	03/48 4.2	4.200000	341,289	371,209
WELLS FARGO + COMPANY SR UNSECURED	02/31 VAR	2.572000	1,300,000	1,329,845
INDIANA MICHIGAN POWER SR UNSECURED	08/48 4.25	4.250000	799,920	829,640
S+P GLOBAL INC COMPANY GUAR	12/49 3.25	3.250000	297,720	327,316
HIGHWOODS REALTY LP SR UNSECURED	04/29 4.2	4.200000	523,495	553,045
CVS PASS THROUGH TRUST PASS THRU CE	01/30 6.943	6.943000	620,334	649,778
FLEX LTD SR UNSECURED	05/30 4.875	4.875000	199,124	228,526
MARATHON OIL CORP SR UNSECURED	06/45 5.2	5.200000	277,445	306,763
NORFOLK SOUTHERN CORP SR UNSECURED	05/55 3.155	3.155000	616,651	645,969
UBS GROUP AG JR SUBORDINA REGS	12/49 VAR	7.000000	528,750	558,000
PHYSICIANS REALTY LP COMPANY GUAR	01/28 3.95	3.950000	189,682	218,836
NATWEST GROUP PLC SR UNSECURED	05/29 VAR	4.892000	200,000	229,104
SOUTHERN CAL EDISON 1ST REF MORT	04/35 5.75	5.750000	100,118	129,046
NORTHERN STATES PWR MINN 1ST MORTGAGE	03/50 2.9	2.900000	692,714	721,621
VODAFONE GROUP PLC SR UNSECURED	06/49 4.875	4.875000	98,251	126,855

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BRISTOL MYERS SQUIBB CO SR UNSECURED 08/45 5		5.000000	73,234	101,490
LIVE NATION ENTERTAINMEN SR SECURED 144A 05/27 6.5		6.500000	300,250	328,487
BOSTON SCIENTIFIC CORP SR UNSECURED 06/30 2.65		2.650000	1,198,212	1,225,900
PUBLIC SERVICE COLORADO 1ST MORTGAGE 09/49 4.05		4.050000	843,946	871,491
SABAL TRAIL TRANS SR UNSECURED 144A 05/38 4.682		4.682000	331,568	358,886
GIP II BLUE HOLDING L P TERM LOAN B		0.000000	1,871,500	1,898,813
EQUINOR ASA COMPANY GUAR 05/43 3.95		3.950000	534,058	560,946
CAMERON LNG LLC SR SECURED 144A 07/31 2.902		2.902000	599,319	626,139
ALEXANDRIA REAL ESTATE E COMPANY GUAR 08/31 3.375		3.375000	367,279	393,873
GUARDIAN LIFE INSURANCE SUBORDINATED 144A 01/70 3.7		3.700000	194,354	220,931
TIME WARNER CABLE LLC SR SECURED 06/39 6.75		6.750000	383,874	410,395
QATAR ENERGY SR UNSECURED 144A 07/51 3.3		3.300000	800,000	826,422
BLACK HILLS CORP SR UNSECURED 09/46 4.2		4.200000	201,592	227,992
FOX CORP SR UNSECURED 01/49 5.576		5.576000	262,051	288,245
PUBLIC SERVICE ELECTRIC 1ST MORTGAGE 12/47 3.6		3.600000	199,854	225,831
MCDONALD S CORP SR UNSECURED 09/49 3.625		3.625000	196,150	222,122
AIA GROUP LTD SR UNSECURED 144A 04/30 3.375		3.375000	299,118	324,808
HUDSON PACIFIC PROPERTIE COMPANY GUAR 01/30 3.25		3.250000	182,352	207,966
GOODMAN US FIN THREE COMPANY GUAR 144A 03/28 3.7		3.700000	298,893	324,439
FIDELITY NATL FINANCIAL SR UNSECURED 09/22 5.5		5.500000	1,058,019	1,083,537
MGM RESORTS INTL COMPANY GUAR 06/25 5.75		5.750000	329,000	354,415
US BANCORP JR SUBORDINA 12/99 VAR		5.300000	300,000	324,861
MCDONALD S CORP SR UNSECURED 03/47 4.45		4.450000	312,678	337,371
AERCAP IRELAND CAP/GLOBA COMPANY GUAR 10/28 3		3.000000	1,397,452	1,422,103
KINDER MORGAN ENER PART COMPANY GUAR 01/38 6.95		6.950000	114,694	138,889
BRISTOL MYERS SQUIBB CO SR UNSECURED 11/47 4.35		4.350000	99,733	123,883
BOSTON PROPERTIES LP SR UNSECURED 03/30 2.9		2.900000	690,305	714,312
FORTUNE BRANDS HOME + SE SR UNSECURED 06/25 4		4.000000	298,071	322,014
DOMINION ENERGY SOUTH 1ST MORTGAGE 06/65 5.1		5.100000	214,077	237,842
HIGH STREET FDG TRUST II SR UNSECURED 144A 02/48 4.682		4.682000	100,000	123,420
ALEXANDRIA REAL ESTATE E COMPANY GUAR 02/50 4		4.000000	358,156	381,450
ERP OPERATING LP SR UNSECURED 08/47 4		4.000000	97,726	121,000
INTERCONTINENTALEXCHANGE SR UNSECURED 09/48 4.25		4.250000	99,288	122,540
UNION PACIFIC CORP SR UNSECURED 08/39 3.55		3.550000	199,430	222,663
RAYTHEON TECH CORP SR UNSECURED 11/38 4.45		4.450000	769,789	792,916
JPMORGAN CHASE + CO SR UNSECURED 10/30 VAR		2.739000	728,564	751,542
LOUISVILLE GAS + ELEC 1ST MORTGAGE 04/49 4.25		4.250000	99,882	122,790
BAT CAPITAL CORP COMPANY GUAR 08/47 4.54		4.540000	213,903	236,591
L3HARRIS TECH INC SR UNSECURED 04/35 4.854		4.854000	100,000	122,521
AMERICAN TOWER CORP SR UNSECURED 10/26 3.375		3.375000	297,012	319,140
MITSUBISHI UFJ FIN GRP SR UNSECURED 03/39 4.153		4.153000	441,103	463,117
CHARLES SCHWAB CORP JR SUBORDINA 12/99 VAR		4.000000	2,000,600	2,022,500
TYSON FOODS INC SR UNSECURED 09/48 5.1		5.100000	147,278	169,092
DISCOVER FINANCIAL SVS JR SUBORDINA 12/99 VAR		5.500000	300,000	321,750
SOUTHERN CAL EDISON 1ST REF MORT 10/43 4.65		4.650000	917,234	938,977
HCA INC COMPANY GUAR 07/51 3.5		3.500000	696,507	717,994
HSBC BANK USA NA SUBORDINATED 01/39 7		7.000000	251,706	273,038
ACTIVISION BLIZZARD SR UNSECURED 06/47 4.5		4.500000	220,053	241,277
STIFEL FINANCIAL CORP SR UNSECURED 05/30 4		4.000000	198,570	219,774
NOVARTIS CAPITAL CORP COMPANY GUAR 05/44 4.4		4.400000	441,527	462,706
MARSH + MCLENNAN COS INC SR UNSECURED 03/48 4.2		4.200000	223,214	244,215
CDW LLC/CDW FINANCE COMPANY GUAR 12/31 3.569		3.569000	500,000	520,938
ROCKIES EXPRESS PIPELINE SR UNSECURED 144A 07/29 4.95		4.950000	299,478	320,316

Rio Tinto America Inc. Retirement Plan Trust

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CONSTELLATION BRANDS INC COMPANY GUAR 11/48 5.25		5.250000	223,225	243,853
AMERICAN TOWER CORP SR UNSECURED 03/29 3.95		3.950000	197,834	218,451
COMMONWEALTH EDISON CO 1ST MORTGAGE 03/48 4		4.000000	519,969	540,488
BOSTON SCIENTIFIC CORP SR UNSECURED 03/39 4.55		4.550000	772,613	792,876
NXP BV/NXP FUNDING LLC COMPANY GUAR 144A 12/28 5.55		5.550000	99,759	119,991
HILTON DOMESTIC OPERATIN COMPANY GUAR 144A 05/31 4		4.000000	800,000	820,192
NATIONWIDE BLDG SOCIETY SR UNSECURED 144A 07/30 VAR		3.960000	200,000	220,140
INTL FLAVOR + FRAGRANCES SR UNSECURED 144A 11/40 3.268		3.268000	999,940	1,020,059
DTE ELECTRIC CO GENL REF MOR 05/48 4.05		4.050000	99,551	119,656
BANK OF AMERICA CORP SR UNSECURED 04/40 VAR		4.078000	510,872	530,777
PARK AEROSPACE HOLDINGS COMPANY GUAR 144A 03/23 4.5		4.500000	610,000	629,803
NATIONWIDE BLDG SOCIETY SUBORDINATED 144A 09/26 4		4.000000	249,265	268,855
ENTERGY LOUISIANA LLC COLLATERAL T 04/28 3.25		3.250000	299,970	319,492
CITIGROUP INC JR SUBORDINA 07/49 VAR		5.950000	600,000	619,500
CSN RESOURCES SA COMPANY GUAR 144A 04/26 7.625		7.625000	296,022	315,317
HSBC HOLDINGS PLC JR SUBORDINA 12/99 VAR		5.875000	859,011	878,226
AADVANTAGE LOYALTY IP LTD 2021 TERM LOAN		0.000000	396,000	415,178
DISCOVERY COMMUNICATIONS COMPANY GUAR 09/55 4		4.000000	493,154	512,179
ENTERPRISE PRODUCTS OPER COMPANY GUAR 09/40 6.45		6.450000	120,075	139,041
ACTIVISION BLIZZARD SR UNSECURED 09/50 2.5		2.500000	422,095	441,000
VIRGINIA ELEC + POWER CO SR UNSECURED 12/48 4.6		4.600000	109,466	128,332
DELTA AIR LINES INC SR UNSECURED 01/26 7.375		7.375000	306,360	325,189
ESSEX PORTFOLIO LP COMPANY GUAR 01/30 3		3.000000	821,456	840,130
CAESARS ENTERTAIN INC SR SECURED 144A 07/25 6.25		6.250000	612,000	630,540
CITRIX SYSTEMS INC SR UNSECURED 03/30 3.3		3.300000	794,800	813,228
DELTA AIR LINES INC SR UNSECURED 10/29 3.75		3.750000	597,750	616,095
ARCH CAPITAL GROUP LTD SR UNSECURED 06/50 3.635		3.635000	245,487	263,798
MIDAMERICAN ENERGY CO 1ST MORTGAGE 10/44 4.4		4.400000	480,262	498,566
VMWARE INC SR UNSECURED 05/25 4.5		4.500000	199,898	218,043
BANCO BTG PACTUAL/CAYMAN SR UNSECURED REGS 01/23 5.5		5.500000	189,250	207,307
NATIONWIDE FINANCIAL SER COMPANY GUAR 144A 11/49 3.9		3.900000	99,508	117,452
TENCENT HOLDINGS LTD SR UNSECURED 144A 04/29 3.975		3.975000	199,934	217,847
SUMITOMO MITSUI FINL GRP SR UNSECURED 01/30 2.75		2.750000	700,000	717,910
ERAC USA FINANCE LLC COMPANY GUAR 144A 10/37 7		7.000000	130,389	147,890
MGM CHINA HOLDINGS LTD SR UNSECURED 144A 02/27 4.75		4.750000	776,000	793,284
HEINEKEN NV SR UNSECURED 144A 10/42 4		4.000000	100,613	117,816
WEA FINANCE LLC/WESTFIEL COMPANY GUAR 144A 09/44 4.75		4.750000	199,366	216,465
COMMONSPIRIT HEALTH SR SECURED 10/49 4.187		4.187000	100,000	117,074
AMEREN ILLINOIS CO 1ST MORTGAGE 03/49 4.5		4.500000	463,289	480,355
BARRICK NA FINANCE LLC COMPANY GUAR 09/38 7.5		7.500000	206,736	223,787
ENERGY TRANSFER LP SR UNSECURED 03/27 4.4		4.400000	199,230	216,090
ESSEX PORTFOLIO LP COMPANY GUAR 05/27 3.625		3.625000	198,846	215,572
NGPL PIPECO LLC SR UNSECURED 144A 12/37 7.768		7.768000	124,125	140,753
CCO HLDGS LLC/CAP CORP SR UNSECURED 144A 08/30 4.5		4.500000	650,000	666,403
CITIGROUP INC JR SUBORDINA 12/49 VAR		5.950000	332,200	348,563
COMCAST CORP COMPANY GUAR 07/46 3.4		3.400000	90,308	106,559
KINDER MORGAN ENER PART COMPANY GUAR 11/40 7.5		7.500000	351,918	367,898
MITSUBISHI UFJ FIN GRP SR UNSECURED 07/39 3.751		3.751000	245,973	261,944
CONSTELLATION EN GEN LLC SR UNSECURED 06/42 5.6		5.600000	672,744	688,591
ROCKCLIFF ENERGY II LLC SR UNSECURED 144A 10/29 5.5		5.500000	500,000	515,833
CENTENE CORP SR UNSECURED 12/27 4.25		4.250000	297,480	313,269
CONSTELLATION BRANDS INC COMPANY GUAR 05/47 4.5		4.500000	104,807	120,424
MPLX LP SR UNSECURED 12/47 5.2		5.200000	289,864	305,329

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QVC INC SR SECURED 03/43 5.95		5.950000	683,025	698,359
BAE SYSTEMS PLC SR UNSECURED 144A 04/30 3.4		3.400000	198,592	213,910
SHELL INTERNATIONAL FIN COMPANY GUAR 05/46 4		4.000000	347,334	362,598
JPMORGAN CHASE + CO JR SUBORDINA 12/99 VAR		4.000000	1,996,111	2,011,250
MIDAMERICAN ENERGY CO 1ST MORTGAGE 07/49 4.25		4.250000	431,822	446,884
WISCONSIN PUBLIC SERVICE SR UNSECURED 09/49 3.3		3.300000	199,770	214,792
GENERAL MOTORS CO SR UNSECURED 04/38 5.15		5.150000	81,835	96,812
NEWMONT CORP COMPANY GUAR 10/39 6.25		6.250000	230,225	245,078
ELECTRICITE DE FRANCE SA SR UNSECURED 144A 01/44 4.875		4.875000	166,412	181,115
ERP OPERATING LP SR UNSECURED 02/30 2.5		2.500000	602,070	616,768
TIME WARNER CABLE LLC SR SECURED 05/37 6.55		6.550000	169,169	183,844
JPMORGAN CHASE + CO SR UNSECURED 07/48 VAR		4.032000	234,716	249,373
WESTERN DIGITAL CORP COMPANY GUAR 02/26 4.75		4.750000	94,750	109,382
AERCAP IRELAND CAP/GLOBA COMPANY GUAR 01/25 3.5		3.500000	194,388	208,976
ROLLS ROYCE PLC COMPANY GUAR 144A 10/27 5.75		5.750000	760,250	774,830
VMWARE INC SR UNSECURED 08/27 3.9		3.900000	94,459	109,022
BARRICK GOLD CORP SR UNSECURED 10/35 6.45		6.450000	204,292	218,836
MASSACHUSETTS ELECTRIC SR UNSECURED 144A 11/39 5.9		5.900000	383,796	398,299
T MOBILE USA INC SR SECURED 144A 10/52 3.4		3.400000	2,187,284	2,201,590
SABINE PASS LIQUEFACTION SR SECURED 03/28 4.2		4.200000	205,108	219,406
SANTOS FINANCE LTD COMPANY GUAR 144A 04/31 3.649		3.649000	801,652	815,919
UNIVISION COMMUNICATIONS SR SECURED 144A 02/25 5.125		5.125000	188,000	202,249
DELTA AIR LINES INC SR UNSECURED 10/24 2.9		2.900000	394,000	408,179
ANHEUSER BUSCH INBEV WOR COMPANY GUAR 04/38 4.375		4.375000	244,559	258,698
TWDC ENTERPRISES 18 CORP COMPANY GUAR 07/46 3		3.000000	192,424	206,555
WEST FRASER TIMBER CO SR UNSECURED 144A 10/24 4.35		4.350000	200,000	214,023
IMPERIAL BRANDS FIN PLC COMPANY GUAR 144A 07/29 3.875		3.875000	198,266	212,265
LLOYDS BANK PLC SR UNSECURED REGS 04/32 VAR		7.500000	306,000	319,993
YARA INTERNATIONAL ASA SR UNSECURED 144A 06/28 4.75		4.750000	99,748	113,736
TENNESSEE GAS PIPELINE COMPANY GUAR 144A 03/30 2.9		2.900000	698,607	712,496
MINERA MEXICO SA DE CV SR UNSECURED 144A 01/50 4.5		4.500000	123,008	136,766
SOUTHERN CO SR UNSECURED 07/36 4.25		4.250000	99,579	113,196
CON EDISON CO OF NY INC SR UNSECURED 11/57 4		4.000000	100,694	114,135
TRANSCONT GAS PIPE LINE SR UNSECURED 05/50 3.95		3.950000	99,424	112,735
BANCO MERCANTIL DE NORTE JR SUBORDINA 144A VAR		7.500000	200,000	213,083
CITIGROUP INC SR UNSECURED 01/39 VAR		3.878000	215,388	228,396
CF INDUSTRIES INC COMPANY GUAR 03/44 5.375		5.375000	492,000	505,004
MORGAN STANLEY DOM HOLD COMPANY GUAR 06/28 4.5		4.500000	99,912	112,776
LEIDOS INC COMPANY GUAR 05/30 4.375		4.375000	98,716	111,556
MORGAN STANLEY SR UNSECURED 07/38 VAR		3.971000	227,525	240,322
OVINTIV INC COMPANY GUAR 11/31 7.2		7.200000	117,274	129,981
PACIFIC GAS + ELECTRIC 1ST MORTGAGE 07/50 4.95		4.950000	206,328	219,033
INTESA SANPAOLO SPA SUBORDINATED 144A 06/42 VAR		4.950000	400,000	412,661
BARCLAYS PLC SUBORDINATED 06/30 VAR		5.088000	555,602	568,204
CAESARS RESORT COLLECTION LLC 2020 TERM LOAN		0.000000	782,130	794,571
IRB HOLDING CORP 2020 FOURTH AMENDMENT INCRE TL		0.000000	1,078,110	1,090,530
GATX CORP SR UNSECURED 03/45 4.5		4.500000	103,621	115,934
HSBC HOLDINGS PLC SR UNSECURED 06/31 VAR		2.848000	900,000	912,304
WOODSIDE FINANCE LTD COMPANY GUAR 144A 03/29 4.5		4.500000	99,817	111,911
CF INDUSTRIES INC COMPANY GUAR 06/43 4.95		4.950000	954,000	966,052
WELLS FARGO + COMPANY SUBORDINATED 11/44 4.65		4.650000	267,909	279,907
STANDARD INDUSTRIES INC SR UNSECURED 144A 02/27 5		5.000000	91,250	103,064
TIME WARNER CABLE LLC SR SECURED 11/40 5.875		5.875000	113,749	125,329

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	FORD MOTOR CREDIT CO LLC SR UNSECURED 05/23 3.096	3.096000	396,620	408,026
	FORTRESS TRANS + INFRAST SR UNSECURED 144A 05/28 5.5	5.500000	703,500	714,749
	AVOLON TLB BORROWER 1 (US) LLC 2021 TERM LOAN B5	0.000000	884,318	895,555
	STANDARD INDUSTRIES INC SR UNSECURED 144A 01/28 4.75	4.750000	92,250	103,432
	BANK OF AMERICA CORP SR UNSECURED 10/30 VAR	2.884000	319,994	331,065
	VOLKSWAGEN GROUP AMERICA COMPANY GUAR 144A 05/25 3.35	3.350000	199,790	210,666
	MORGAN STANLEY SR UNSECURED 01/45 4.3	4.300000	168,426	179,282
	UNITED AIRLINES, INC. 2021 TERM LOAN B	0.000000	987,538	998,306
	PENNYMAC FIN SVCS INC COMPANY GUAR 144A 09/31 5.75	5.750000	900,000	910,265
	EQM MIDSTREAM PARTNERS L SR UNSECURED 12/26 4.125	4.125000	297,573	307,817
	EQUIFAX INC SR UNSECURED 05/30 3.1	3.100000	199,620	209,779
	CITIGROUP INC JR SUBORDINA 12/49 VAR	6.300000	200,000	210,126
	CANTOR FITZGERALD LP UNSECURED 144A 06/22 6.5	6.500000	400,000	409,959
	DTE ELECTRIC CO 1ST MORTGAGE 03/31 2.625	2.625000	299,496	309,453
	NOMURA HOLDINGS INC SR UNSECURED 01/30 3.103	3.103000	300,000	309,878
	AMERICAN TOWER CORP SR UNSECURED 01/27 3.125	3.125000	199,866	209,655
	EDISON INTERNATIONAL JR SUBORDINA 12/99 VAR	5.000000	400,000	409,720
	AMERICAN CAMPUS CMNTYS COMPANY GUAR 02/30 2.85	2.850000	399,240	408,928
	CVS HEALTH CORP SR UNSECURED 03/28 4.3	4.300000	291,623	301,212
	PROLOGIS LP SR UNSECURED 04/50 3	3.000000	197,872	207,387
	KKR GROUP FIN CO X LLC COMPANY GUAR 144A 12/51 3.25	3.250000	1,976,297	1,985,784
	PROSUS NV SR UNSECURED 144A 01/30 3.68	3.680000	300,000	309,355
	DELTA AIR LINES/SKYMILES SR SECURED 144A 10/28 4.75	4.750000	100,000	109,347
	INTERCONTINENTALEXCHANGE SR UNSECURED 06/50 3	3.000000	295,488	304,815
	KAISER FOUNDATION HOSPIT COMPANY GUAR 11/49 3.266	3.266000	109,281	118,452
	IMPERIAL BRANDS FIN PLC COMPANY GUAR 144A 07/26 3.5	3.500000	201,400	210,565
	AMERICAN EXPRESS CO JR SUBORDINA 12/99 VAR	3.550000	2,700,000	2,709,113
	PACIFIC LIFECORP SR UNSECURED 144A 09/50 3.35	3.350000	99,232	108,208
	NISSAN MOTOR CO SR UNSECURED 144A 09/30 4.81	4.810000	663,474	672,386
	CITIGROUP INC JR SUBORDINA 12/99 VAR	4.700000	700,000	708,890
	BLOCK FINANCIAL LLC COMPANY GUAR 07/28 2.5	2.500000	1,194,484	1,203,262
	BANK OF NY MELLON CORP JR SUBORDINA 12/99 VAR	4.700000	312,075	320,775
	ELECTRICITE DE FRANCE SA SR UNSECURED 144A 10/35 4.75	4.750000	216,193	224,861
	AMERICAN TRANSMISSION SY SR UNSECURED 144A 01/32 2.65	2.650000	598,344	606,956
	EPR PROPERTIES COMPANY GUAR 12/26 4.75	4.750000	98,429	106,999
	FORD MOTOR CREDIT CO LLC SR UNSECURED 10/22 3.55	3.550000	499,595	508,150
	RENEW POWER PVT LTD SR SECURED 144A 03/27 5.875	5.875000	200,000	208,486
	PETSMART INC/PETSMART FI SR SECURED 144A 02/28 4.75	4.750000	300,000	308,420
	EVERGY KANSAS CENTRAL 1ST MORTGAGE 04/50 3.45	3.450000	99,591	107,872
	JPMORGAN CHASE + CO SR UNSECURED 01/42 5.4	5.400000	217,178	225,440
	SINOPEC GRP OVERSEA 2014 COMPANY GUAR REGS 04/24 4.375	4.375000	312,399	320,658
	HOME DEPOT INC SR UNSECURED 06/47 3.9	3.900000	238,605	246,794
	PACIFIC GAS + ELECTRIC SR SECURED 06/41 4.2	4.200000	598,248	606,424
	STEEL DYNAMICS INC SR UNSECURED 12/24 2.8	2.800000	199,850	207,985
	CENTERPOINT ENERGY INC JR SUBORDINA 12/99 VAR	6.125000	200,000	208,125
	GILEAD SCIENCES INC SR UNSECURED 02/45 4.5	4.500000	108,403	116,433
	CITIGROUP INC SR UNSECURED 11/30 VAR	2.976000	200,153	208,099
	UBS AG LONDON SR UNSECURED 144A 06/48 4.5	4.500000	182,511	190,438
	LIBERTY MUTUAL GROUP INC COMPANY GUAR 144A 10/50 3.951	3.951000	103,662	111,387
	NY STATE ELECTRIC + GAS SR UNSECURED 144A 09/49 3.3	3.300000	202,530	210,189
	ING GROEP NV JR SUBORDINA VAR	5.750000	423,333	430,834
	ABBVIE INC SR UNSECURED 03/35 4.55	4.550000	276,320	283,789

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BROADCOM INC SR UNSECURED 144A 11/36 3.187		3.187000	783,688	791,099
PETROLEOS MEXICANOS COMPANY GUAR 144A 02/32 6.7		6.700000	786,051	793,388
STAR ENERGY GEOTHERMAL SR SECURED 144A 04/33 6.75		6.750000	176,630	183,920
ARES FINANCE CO II LLC COMPANY GUAR 144A 06/30 3.25		3.250000	199,542	206,819
UNIVISION COMMUNICATIONS 2017 REPLACEMENT REPRICED NEW		0.000000	340,529	347,799
SAUDI ARABIAN OIL CO SR UNSECURED 144A 04/49 4.375		4.375000	85,663	92,908
AVOLON HOLDINGS FNDG LTD COMPANY GUAR 144A 02/25 2.875		2.875000	299,643	306,798
HILTON DOMESTIC OPERATIN COMPANY GUAR 144A 05/29 3.75		3.750000	800,000	807,148
ARIZONA PUBLIC SERVICE SR UNSECURED 05/50 3.35		3.350000	249,006	256,150
GLOBAL PAYMENTS INC SR UNSECURED 05/30 2.9		2.900000	299,019	306,087
DH EUROPE FINANCE II COMPANY GUAR 11/39 3.25		3.250000	105,631	112,621
WALT DISNEY COMPANY/THE COMPANY GUAR 10/45 4.95		4.950000	563,786	570,605
CARNIVAL CORPORATION USD TERM LOAN B		0.000000	189,600	196,266
HSBC HOLDINGS PLC SR UNSECURED 05/30 VAR		3.973000	688,864	695,498
ORACLE CORP SR UNSECURED 11/47 4		4.000000	97,914	104,424
ARCHES BUYER INC 2021 TERM LOAN B		0.000000	1,372,140	1,378,557
TEXAS EASTERN TRANSMISSI SR UNSECURED 07/32 7		7.000000	326,247	332,639
WEYERHAEUSER CO SR UNSECURED 11/29 4		4.000000	105,628	111,957
BOEING CO SR UNSECURED 02/50 3.75		3.750000	187,409	193,477
DISH DBS CORP SR SECURED 144A 12/28 5.75		5.750000	500,000	505,938
JPMORGAN CHASE + CO SR UNSECURED 11/48 VAR		3.964000	94,372	100,283
DAIMLER TRUCKS FINAN NA COMPANY GUAR 144A 12/26 2		2.000000	597,390	603,293
CVS HEALTH CORP SR UNSECURED 08/26 3		3.000000	99,887	105,766
MARRIOTT INTERNATIONAL SR UNSECURED 10/32 3.5		3.500000	204,124	209,995
EPR PROPERTIES SR UNSECURED 08/29 3.75		3.750000	297,504	303,343
ALLSPRING BUYER LLC TERM LOAN B		0.000000	617,468	623,296
CONSTELLATION BRANDS INC COMPANY GUAR 08/29 3.15		3.150000	126,347	132,091
BANCO BRADESCO (CAYMAN) SR UNSECURED 144A 01/25 3.2		3.200000	400,000	405,696
RIO OIL FINANCE TRUST SR SECURED 144A 07/24 9.25		9.250000	242,015	247,627
JERSEY CENTRAL PWR + LT SR UNSECURED 144A 03/32 2.75		2.750000	299,178	304,731
CVS HEALTH CORP SR UNSECURED 07/45 5.125		5.125000	40,215	45,741
AMGEN INC SR UNSECURED 05/45 4.4		4.400000	66,546	71,999
LOCKHEED MARTIN CORP SR UNSECURED 09/41 4.85		4.850000	109,924	115,296
CONTINENTAL RESOURCES COMPANY GUAR 144A 01/31 5.75		5.750000	466,387	471,720
GENERAL MOTORS CO SR UNSECURED 10/43 6.25		6.250000	22,201	27,500
BRITISH TELECOMMUNICATIO SR UNSECURED 12/30 9.625		9.625000	141,546	146,724
BURLINGTN NORTH SANTA FE SR UNSECURED 09/44 4.55		4.550000	70,933	76,089
AIA GROUP LTD SUBORDINATED 144A 09/40 3.2		3.200000	199,678	204,833
JPMORGAN CHASE + CO SR UNSECURED 02/28 VAR		3.782000	428,437	433,579
CROWN CASTLE INTL CORP SR UNSECURED 05/47 4.75		4.750000	118,267	123,391
DAVITA INC COMPANY GUAR 144A 06/30 4.625		4.625000	200,000	205,112
SANDS CHINA LTD SR UNSECURED 01/26 3.8		3.800000	699,307	704,337
CHARLES SCHWAB CORP JR SUBORDINA 12/99 VAR		5.000000	99,000	103,967
UDR INC COMPANY GUAR 11/34 3.1		3.100000	203,132	208,072
SPIRIT AEROSYSTEMS INC SR SECURED 06/26 3.85		3.850000	97,514	102,356
LUMEN TECHNOLOGIES INC SR SECURED 144A 02/27 4		4.000000	300,000	304,740
WYNN MACAU LTD SR UNSECURED 144A 10/27 5.5		5.500000	367,667	372,400
WELLS FARGO + COMPANY SUBORDINATED 01/44 5.606		5.606000	104,084	108,782
STANDARD INDUSTRIES INC SR UNSECURED 144A 07/30 4.375		4.375000	404,125	408,758
CVS HEALTH CORP SR UNSECURED 08/29 3.25		3.250000	86,191	90,800
NATIONAL SECS CLEARING SR UNSECURED 144A 04/25 1.5		1.500000	499,015	503,588
GRINDING MEDIA INC 2021 TERM LOAN B		0.000000	794,010	798,499
WESTPAC BANKING CORP SUBORDINATED 07/39 4.421		4.421000	54,267	58,719

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ROGERS COMMUNICATIONS IN COMPANY GUAR 11/49 3.7		3.700000	95,892	100,343
DH EUROPE FINANCE II COMPANY GUAR 11/49 3.4		3.400000	60,536	64,717
MELCO RESORTS FINANCE SR UNSECURED 144A 07/28 5.75		5.750000	600,000	604,164
CUBESMART LP COMPANY GUAR 12/28 2.25		2.250000	597,090	601,119
AON CORP/AON GLOBAL HOLD COMPANY GUAR 12/31 2.6		2.600000	199,842	203,826
JAZZ FINANCING LUX SARL USD TERM LOAN		0.000000	396,010	399,966
ABBOTT LABORATORIES SR UNSECURED 11/36 4.75		4.750000	85,719	89,611
OGLETHORPE POWER CORP 1ST MORTGAGE 10/48 5.05		5.050000	40,615	44,492
AMERICAN WATER CAPITAL C SR UNSECURED 06/49 4.15		4.150000	79,264	83,133
SUMITOMO MITSUI FINL GRP SR UNSECURED 07/29 3.04		3.040000	147,597	151,422
CITIGROUP INC SR UNSECURED 10/28 VAR		3.520000	146,661	150,394
JPMORGAN CHASE + CO JR SUBORDINA 12/49 VAR		3.598630	339,985	343,712
SPRINT CORP COMPANY GUAR 09/23 7.875		7.875000	106,625	110,273
BROOKFIELD PPTY REIT INC SR SECURED 144A 05/26 5.75		5.750000	100,000	103,613
MITSUBISHI UFJ FIN GRP SR UNSECURED 10/32 VAR		2.494000	1,000,000	1,003,573
CROWN CASTLE INTL CORP SR UNSECURED 02/29 4.3		4.300000	108,306	111,822
YARA INTERNATIONAL ASA SR UNSECURED 144A 06/30 3.148		3.148000	100,000	103,383
SANTANDER UK GROUP HLDGS SR UNSECURED 03/32 VAR		2.896000	603,954	607,244
BANCO SANTANDER SA SR UNSECURED 06/29 3.306		3.306000	107,900	111,185
BOYNE USA INC SR UNSECURED 144A 05/29 4.75		4.750000	100,000	103,172
DEVON ENERGY CORPORATION SR UNSECURED 05/42 4.75		4.750000	229,620	232,686
INTELSAT JACKSON HLDGS S A TERM LOAN B 3		0.000000	297,000	300,062
AMERICAN WATER CAPITAL C SR UNSECURED 09/47 3.75		3.750000	58,753	61,705
ALLY FINANCIAL INC COMPANY GUAR 11/31 8		8.000000	1,132,016	1,134,938
BROADCOM INC SR UNSECURED 144A 11/35 3.137		3.137000	188,742	191,627
UNITED AIRLINES INC SR SECURED 144A 04/26 4.375		4.375000	206,000	208,810
AMERICAN TOWER CORP SR UNSECURED 06/30 2.1		2.100000	1,106,956	1,109,745
UDR INC COMPANY GUAR 01/30 3.2		3.200000	207,822	210,608
GREENKO SOLAR MAURITIUS SR SECURED REGS 01/25 5.55		5.550000	201,750	204,512
DEPOSITORY TRUST + CLEAR JR SUBORDINA 144A 12/99 VAR		3.375000	250,000	252,656
INTELSAT JACKSON HOLDINGS SA 2021 DIP TERM LOAN		0.000000	199,893	202,472
UDR INC COMPANY GUAR 08/31 3		3.000000	101,858	104,393
SETANTA AIRCRAFT LEASING DAC TERM LOAN B		0.000000	798,000	800,500
DT MIDSTREAM INC TERM LOAN B		0.000000	297,008	299,457
CREDIT SUISSE GROUP AG JR SUBORDINA 144A 12/99 VAR		5.100000	600,000	602,250
MARS INC COMPANY GUAR 144A 04/39 3.875		3.875000	55,945	58,080
TEMPO ACQUISITION LLC 2021 TERM LOAN B		0.000000	298,502	300,622
NISSAN MOTOR ACCEPTANCE SR UNSECURED 144A 07/22 2.65		2.650000	199,898	201,781
PETROLEOS MEXICANOS COMPANY GUAR 09/47 6.75		6.750000	1,056,730	1,058,475
DUKE ENERGY CAROLINAS 1ST REF MORT 03/46 3.875		3.875000	168,390	170,115
GOLDMAN SACHS GROUP INC SR UNSECURED 05/29 VAR		4.223000	70,901	72,317
FLEX LTD SR UNSECURED 06/25 4.75		4.750000	434,500	435,882
DISCOVERY COMMUNICATIONS COMPANY GUAR 09/47 5.2		5.200000	11,152	12,464
FLORIDA POWER + LIGHT CO 1ST MORTGAGE 10/49 3.15		3.150000	20,078	21,372
KINDER MORGAN INC COMPANY GUAR 02/46 5.05		5.050000	10,861	12,052
KINDER MORGAN INC COMPANY GUAR 06/45 5.55		5.550000	11,563	12,708
EXXON MOBIL CORPORATION SR UNSECURED 08/49 3.095		3.095000	39,722	40,802
SYNCHRONY FINANCIAL SR UNSECURED 10/31 2.875		2.875000	799,104	800,165
ENLINK MIDSTREAM PARTNER SR UNSECURED 06/47 5.45		5.450000	99,981	101,030
CITIGROUP INC SR UNSECURED 03/30 VAR		3.980000	48,763	49,764
ALIBABA GROUP HOLDING SR UNSECURED 12/57 4.4		4.400000	913,700	914,637
BOSTON SCIENTIFIC CORP SR UNSECURED 03/29 4		4.000000	227,121	228,055
OCCIDENTAL PETROLEUM COR SR UNSECURED 08/29 3.5		3.500000	40,205	41,107

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LOCKHEED MARTIN CORP SR UNSECURED 03/35 3.6		3.600000	21,570	22,418
MARRIOTT INTERNATIONAL SR UNSECURED 04/31 2.85		2.850000	698,635	699,365
AMERICA MOVIL SAB DE CV SR UNSECURED 07/42 4.375		4.375000	11,228	11,890
MARS INC COMPANY GUAR 144A 04/34 3.6		3.600000	55,313	55,945
BANCOLOMBIA SA SUBORDINATED 12/29 VAR		4.625000	400,000	400,606
EW SCRIPPS COMPANY THE 2019 TERM LOAN B2		0.000000	97,022	97,518
MORGAN STANLEY SR UNSECURED 01/30 VAR		4.431000	22,413	22,831
NISSAN MOTOR ACCEPTANCE SR UNSECURED 144A 03/24 VAR		0.830000	900,000	900,357
LXP INDUSTRIAL TRUST COMPANY GUAR 09/30 2.7		2.700000	396,932	397,261
DAIMLER FINANCE NA LLC COMPANY GUAR 144A 02/22 VAR		1.056000	300,000	300,271
ODEBRECHT OIL + FINANCE COMPANY GUAR 144A 12/99 0.0000		0.000000	32	292
SUNCOR ENERGY INC SR UNSECURED 05/38 6.8		6.800000	13,818	13,992
JPMORGAN CHASE + CO JR SUBORDINA 12/99 VAR		3.650000	1,000,000	1,000,000
AMERICAN MONEY MANAGEMENT CORP AMMC 2013 12A AR2 144A		1.095630	800,000	799,998
BANCO BTG PACTUAL/CAYMAN SR UNSECURED 144A 01/25 4.5		4.500000	303,000	302,988
LAS VEGAS SANDS CORP SR UNSECURED 06/25 2.9		2.900000	399,500	399,418
WILLIS NORTH AMERICA INC COMPANY GUAR 09/29 2.95		2.950000	102,666	102,571
MH SUB I LLC AMENDMENT NO. 2 INITIAL TERM		0.000000	286,412	286,227
HOME DEPOT INC SR UNSECURED 04/40 3.3		3.300000	239,892	239,630
VOC ESCROW LTD SR SECURED 144A 02/28 5		5.000000	496,250	495,725
CORNERSTONE BUILDNG BRANDS INC 2021 TERM LOAN B		0.000000	195,974	195,424
CSC HOLDINGS, LLC 2019 TERM LOAN B5		0.000000	96,537	95,930
ALEXANDRIA REAL ESTATE E COMPANY GUAR 12/30 4.9		4.900000	843,248	842,623
SOUTHWEST AIRLINES CO SR UNSECURED 06/27 5.125		5.125000	916,432	915,795
CAESARS RESORT COLLECTION LLC TERM B LOANS		0.000000	480,047	479,371
NOMURA HOLDINGS INC SR UNSECURED 07/30 2.679		2.679000	300,000	299,284
CROWN CASTLE INTL CORP SR UNSECURED 01/51 3.25		3.250000	99,786	98,926
BROADCOM INC COMPANY GUAR 144A 02/33 2.6		2.600000	99,824	97,750
GA GLOBAL FUNDING TRUST SECURED 144A 01/26 1.625		1.625000	399,540	397,288
KILROY REALTY LP COMPANY GUAR 11/33 2.65		2.650000	99,957	97,464
HILTON DOMESTIC OPERATIN COMPANY GUAR 144A 02/32 3.625		3.625000	700,000	697,484
AMC NETWORKS INC COMPANY GUAR 02/29 4.25		4.250000	600,000	597,336
BOEING CO SR UNSECURED 03/47 3.65		3.650000	104,044	101,210
US AIRWAYS 2012 1A PTT PASS THRU CE 04/26 5.9		5.900000	146,377	143,390
REGENERON PHARMACEUTICAL SR UNSECURED 09/30 1.75		1.750000	192,672	189,570
CARNIVAL CORPORATION 2021 INCREMENTAL TERM LOAN B		0.000000	1,890,500	1,887,337
REALTY INCOME CORP SR UNSECURED 08/27 3.95		3.950000	225,364	222,039
DELL INT LLC / EMC CORP COMPANY GUAR 144A 12/41 3.375		3.375000	1,295,684	1,292,308
CREDIT SUISSE GROUP AG JR SUBORDINA 144A VAR		6.375000	435,500	432,120
HEALTH EQUITY INC COMPANY GUAR 144A 10/29 4.5		4.500000	400,000	396,500
GOLDMAN SACHS GROUP INC JR SUBORDINA 12/99 VAR		3.650000	500,000	496,250
CAMPBELL SOUP CO SR UNSECURED 04/50 3.125		3.125000	598,374	594,560
ENTERPRISE PRODUCTS OPER COMPANY GUAR 08/77 VAR		4.875000	191,750	187,512
ADANI ELECTRICITY MUMBAI SR SECURED 144A 02/30 3.949		3.949000	400,000	395,676
VMWARE INC SR UNSECURED 08/31 2.2		2.200000	299,409	294,873
VERIZON COMMUNICATIONS SR UNSECURED 09/41 2.85		2.850000	748,794	743,560
CENTENE CORP SR UNSECURED 07/28 2.45		2.450000	400,000	394,616
CREDIT SUISSE GROUP AG JR SUBORDINA 144A 12/49 VAR		7.500000	438,500	433,095
GENERAL ELECTRIC CO SR UNSECURED 03/32 6.75		6.750000	962,353	956,855
CIA DE MINAS BUENAVENTUR COMPANY GUAR 144A 07/26 5.5		5.500000	396,560	390,812
MELCO RESORTS FINANCE SR UNSECURED 144A 07/27 5.625		5.625000	500,000	494,090
BOEING CO SR UNSECURED 08/59 3.95		3.950000	178,798	172,615
ROYALTY PHARMA PLC COMPANY GUAR 09/30 2.2		2.200000	879,840	873,135

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RAYTHEON TECH CORP SR UNSECURED 04/47 4.35		4.350000	128,947	122,217
LEVEL 3 FINANCING INC 2019 TERM LOAN B		0.000000	607,190	600,359
MGM CHINA HOLDINGS LTD SR UNSECURED 144A 06/25 5.25		5.250000	503,750	496,780
PERUSAHAAN LISTRIK NEGAR SR UNSECURED 144A 06/50 4		4.000000	687,981	680,565
NATIONAL HEALTH INVESTOR COMPANY GUAR 02/31 3		3.000000	297,588	290,077
STANDARD CHARTERED PLC JR SUBORDINA 144A 12/99 VAR		4.750000	500,400	492,813
FIRSTENERGY CORP SR UNSECURED 03/50 3.4		3.400000	499,245	491,250
MDC HOLDINGS INC COMPANY GUAR 08/61 3.966		3.966000	200,000	191,535
SABRA HEALTH CARE LP COMPANY GUAR 12/31 3.2		3.200000	792,050	783,571
JERSEY CENTRAL PWR + LT SR UNSECURED 144A 01/26 4.3		4.300000	334,982	325,776
EXTRA SPACE STORAGE LP COMPANY GUAR 03/32 2.35		2.350000	399,188	389,780
OMEGA HLTHCARE INVESTORS COMPANY GUAR 04/33 3.25		3.250000	302,724	293,143
GLP CAPITAL LP / FIN II COMPANY GUAR 06/28 5.75		5.750000	934,512	924,816
EQUINIX INC SR UNSECURED 11/29 3.2		3.200000	1,484,252	1,474,220
ODBRCHT OFFSHRE DRLL FIN SR SECURED 144A 12/22 6.72		6.720000	22,491	12,379
COMCAST CORP COMPANY GUAR 144A 11/56 2.937		2.937000	296,975	286,843
SOUTHERN CAL EDISON 1ST MORTGAGE 02/51 2.95		2.950000	297,921	287,590
STUDIO CITY FINANCE LTD COMPANY GUAR 144A 07/25 6		6.000000	400,000	389,416
VMED O2 UK FINAN SR SECURED 144A 01/31 4.25		4.250000	600,000	588,972
SOUTHERN CAL EDISON 1ST MORTGAGE 03/49 4.875		4.875000	748,184	736,698
SAUDI ARABIAN OIL CO SR UNSECURED 144A 11/50 3.25		3.250000	891,468	879,319
ERSTE GROUP BANK AG JR SUBORDINA REGS 12/99 VAR		4.250000	250,888	238,528
SERVICE PROPERTIES TRUST SR UNSECURED 10/26 4.75		4.750000	499,220	486,793
PACIFIC GAS + ELECTRIC 1ST MORTGAGE 07/25 3.45		3.450000	428,200	415,066
NIPPON LIFE INSURANCE SUBORDINATED 144A 01/51 VAR		2.750000	800,000	785,232
BARCLAYS BANK PLC SUBORDINATED 11/22 7.625		7.625000	364,134	348,235
FIRST AMERICAN FINANCIAL SR UNSECURED 08/31 2.4		2.400000	822,165	806,005
TD SYNEX CORP SR UNSECURED 144A 08/28 2.375		2.375000	600,000	583,389
OHIO POWER COMPANY SR UNSECURED 10/51 2.9		2.900000	696,647	679,514
CELGENE CORP SR UNSECURED 11/47 4.35		4.350000	126,662	109,332
ALIBABA GROUP HOLDING SR UNSECURED 02/51 3.15		3.150000	299,943	282,557
PACIFIC GAS + ELECTRIC 1ST MORTGAGE 02/31 2.5		2.500000	399,584	381,697
ESC LEHMAN BRTH HLDH PROD 05/18 VAR		1.000000	32,904	14,792
STORE CAPITAL CORP SR UNSECURED 12/31 2.7		2.700000	998,770	980,143
PACIFIC GAS + ELECTRIC 1ST MORTGAGE 06/25 3.5		3.500000	850,096	830,999
CREDIT SUISSE GROUP AG JR SUBORDINA 144A 12/49 VAR		6.250000	553,350	534,000
TAKEDA PHARMACEUTICAL SR UNSECURED 03/30 2.05		2.050000	1,197,648	1,177,750
CELLNEX FINANCE COMPANY GUAR 144A 07/41 3.875		3.875000	691,068	670,485
FIRSTENERGY CORP SR UNSECURED 07/47 5.35		5.350000	737,449	715,918
MGM CHINA HOLDINGS LTD SR UNSECURED 144A 05/26 5.875		5.875000	423,000	401,410
MIZUHO FINANCIAL GROUP SR UNSECURED 07/31 VAR		2.201000	1,100,000	1,077,869
LAS VEGAS SANDS CORP SR UNSECURED 08/29 3.9		3.900000	426,540	403,542
WYNN MACAU LTD SR UNSECURED 144A 01/26 5.5		5.500000	400,000	376,446
PROSUS NV SR UNSECURED 144A 02/51 3.832		3.832000	399,968	375,347
SBA TOWER TRUST ASSET BACKED 144A 07/52 2.328		2.328000	2,580,000	2,555,105
AMGEN INC SR UNSECURED 09/53 2.77		2.770000	680,113	653,875
AMGEN INC SR UNSECURED 11/41 5.15		5.150000	667,557	640,226
FREEDOM MORTGAGE CORP SR UNSECURED 144A 01/27 6.625		6.625000	1,300,000	1,272,102
CHARTER COMM OPT LLC/CAP SR SECURED 06/62 3.95		3.950000	1,289,418	1,260,701
COX COMMUNICATIONS INC COMPANY GUAR 144A 10/30 1.8		1.800000	598,134	566,556
ING GROEP NV JR SUBORDINA 12/99 VAR		4.250000	600,000	567,000
AMERICAN TOWER CORP SR UNSECURED 09/31 2.3		2.300000	1,591,104	1,557,585
7 ELEVEN INC SR UNSECURED 144A 02/41 2.5		2.500000	593,466	556,324

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BANCA MONTE DEI PASCHI S SR UNSECURED REGS 09/24 3.625		3.625000	735,743	696,450
MELCO RESORTS FINANCE SR UNSECURED 144A 12/29 5.375		5.375000	1,400,000	1,360,170
PACIFIC GAS + ELECTRIC 1ST MORTGAGE 07/30 4.55		4.550000	799,582	758,262
WYNN MACAU LTD SR UNSECURED 144A 10/24 4.875		4.875000	608,250	564,651
UNICREDIT SPA JR SUBORDINA REGS 12/49 VAR		9.250000	516,132	472,506
REALTY INCOME CORP SR UNSECURED 06/26 4.875		4.875000	2,413,131	2,365,903
HSBC HOLDINGS PLC JR SUBORDINA REGS 12/99 VAR		4.750000	2,670,388	2,622,826
SANDS CHINA LTD SR UNSECURED 144A 03/27 2.55		2.300000	899,170	848,192
CROWN CASTLE INTL CORP SR UNSECURED 01/31 2.25		2.250000	2,395,920	2,344,036
PACIFIC GAS + ELECTRIC 1ST MORTGAGE 03/45 4.3		4.300000	1,274,724	1,219,692
CHARTER COMM OPT LLC/CAP SR SECURED 04/51 3.7		3.700000	2,390,094	2,334,963
CHARTER COMM OPT LLC/CAP SR SECURED 12/61 4.4		4.400000	1,721,296	1,665,755
WYNN MACAU LTD SR UNSECURED 144A 08/28 5.625		5.625000	800,000	742,000
STUDIO CITY FINANCE LTD COMPANY GUAR 144A 01/29 5		5.000000	600,000	537,939
CREDIT SUISSE GROUP AG JR SUBORDINA 144A 12/99 VAR		7.500000	1,449,125	1,377,010
CREDIT SUISSE GROUP AG JR SUBORDINA REGS 12/49 VAR		7.500000	2,023,200	1,948,928
ODBRCHT OFFSHRE DRLL FIN SR SECURED 144A 12/26 7.72		7.720000	134,916	49,211
WYNN MACAU LTD SR UNSECURED 144A 12/29 5.125		5.125000	1,100,000	1,001,000
DIAMOND SPORTS GR/DIAMON SR SECURED 144A 08/26 5.375		5.375000	200,000	100,230
PACIFIC GAS + ELECTRIC 1ST MORTGAGE 01/26 3.15		3.150000	5,036,880	4,913,376
PETROBRAS GLOBAL FINANCE COMPANY GUAR 06/50 6.75		6.750000	1,080,000	942,890
YANGO JUSTICE INTL COMPANY GUAR REGS 04/24 7.5		7.500000	205,250	48,000
SANDS CHINA LTD SR UNSECURED 08/28 5.4		5.400000	4,274,688	4,099,763
KAISA GROUP HOLDINGS LTD SR SECURED REGS 06/22 8.5		8.500000	293,250	80,250
DIAMOND SPORTS GROUP LLC TERM LOAN		0.000000	486,306	229,576
KAISA GROUP HOLDINGS LTD SR SECURED REGS 06/24 9.375		9.375000	488,750	133,750
KAISA GROUP HOLDINGS LTD SR SECURED REGS 09/23 9.75		9.750000	1,200,000	315,300
Total Fixed Income - Corporate Debt Instrument				418,232,124
STATE OF ISRAEL SR UNSECURED 12/99 4.5		4.500000	1,200,000	1,535,258
STATE OF QATAR SR UNSECURED 144A 04/30 3.75		3.750000	1,397,340	1,572,869
STATE OF QATAR SR UNSECURED REGS 04/48 5.103		5.103000	400,000	542,270
SAUDI INTERNATIONAL BOND SR UNSECURED REGS 10/46 4.5		4.500000	686,105	822,381
ABU DHABI GOVT INT L SR UNSECURED 144A 04/50 3.875		3.875000	576,816	700,436
STATE OF QATAR SR UNSECURED REGS 03/49 4.817		4.817000	300,000	394,191
REPUBLIC OF SOUTH AFRICA SR UNSECURED 09/29 4.85		4.850000	900,000	931,770
REPUBLIC OF CHILE SR UNSECURED 01/50 3.5		3.500000	120,118	119,888
REPUBLIC OF PERU SR UNSECURED 06/30 2.844		2.844000	128,232	126,736
REPUBLIC OF ARGENTINA BONDS 04/22 VAR		49.849394	3,223	1,550
REPUBLIC OF PANAMA SR UNSECURED 07/60 3.87		3.870000	142,830	135,506
REPUBLIC OF SOUTH AFRICA SR UNSECURED 03/32 8.25		8.250000	828,465	797,756
REPUBLIC OF PERU SR UNSECURED 144A 08/34 5.4		5.400000	123,503	91,521
UNITED MEXICAN STATES SR UNSECURED 05/61 3.771		3.771000	450,000	415,460
AUSTRALIAN GOVERNMENT BONDS REGS 11/31 1		1.000000	1,070,361	1,026,119
REPUBLIC OF PERU BONDS 144A 08/40 5.35		5.350000	206,526	149,674
REPUBLIC OF PHILIPPINES SR UNSECURED 02/42 3.7		3.700000	1,053,000	984,038
REPUBLIC OF PERU SR UNSECURED 144A 02/29 5.94		5.940000	1,065,089	924,313
RUSSIA GOVT BOND OFZ BONDS 04/30 7.65		7.650000	923,389	693,887
RUSSIA GOVT BOND OFZ BONDS 09/31 8.5		8.500000	1,662,281	1,340,734
REPUBLIC OF PERU SR UNSECURED REGS 08/28 6.35		6.350000	3,593,094	2,755,954
Total Fixed Income - Foreign Government Securities				16,062,311
US 2YR NOTE (CBT) MAR22 XCBT 20220331		0.000000	(69,075,672)	133,360

Rio Tinto America Inc. Retirement Plan Trust

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Identity of Issuer, Borrower, Lessor or Similar Party				
Description of Investment including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value				
		Interest Rate	Cost - Base	Market Value - Base
EURO BUND FUTURE MAR22 XEUR 20220308		0.000000	(196,902)	2,968
US 5YR NOTE (CBT) MAR22 XCBT 20220331		0.000000	81,092,939	(38,642)
US 10YR NOTE (CBT) MAR22 XCBT 20220322		0.000000	20,247,094	106,031
US LONG BOND(CBT) MAR22 XCBT 20220322		0.000000	9,366,711	99,102
US ULTRA BOND CBT MAR22 XCBT 20220322		0.000000	5,053,344	71,906
Total Fixed Income - Futures				374,725
Other Investments - Spot				
HUNGARIAN FORINT				349
EURO CURRENCY				(1)
BRAZILIAN REAL				(4,977)
Total Fixed Income - Spot				(4,629)
317U141X0 IRO EUR 30Y MAR23 0 PUT		0.000000	159,366	283,423
317U744Z6 PIMCO SWAPTION 0.87 CALL USD 2022110		0.000000	(187,170)	(98,786)
317U178X6 IRO EUR 30Y MAR23 0 PUT		0.000000	101,527	186,249
317U706Y5 PIMCO SWAPTION 0.020 PUT USD 2023062		0.000000	(826,000)	(794,463)
317UCG061 PIMCO SWAPTION 1.4775 CALL USD 20220		0.000000	(26,563)	(4)
317UCG079 PIMCO SWAPTION 1.7975 PUT USD 202201		0.000000	(26,563)	(2,027)
317U789Y5 PIMCO SWAPTION 0.0211 PUT USD 202306		0.000000	(372,400)	(350,104)
317U981Z8 PIMCO SWAPTION 1.45 CALL USD 2022013		0.000000	(18,070)	(4,538)
3175890J9 PIMCO CDSOPT PUT EUR 3.5 20220119		0.000000	(10,809)	(565)
317U982Z7 PIMCO SWAPTION 1.91 PUT USD 20220131		0.000000	(18,070)	(8,040)
317U068I2 PIMCO SWAPTION 1.5375 CALL USD 20220		0.000000	(10,938)	(1,576)
317U067I3 PIMCO SWAPTION 1.8375 PUT USD 202201		0.000000	(10,938)	(2,758)
317U018I3 PIMCO SWAPTION 1.525 CALL USD 202201		0.000000	(8,460)	(492)
317U341Z3 PIMCO SWAPTION 0.0206 PUT USD 202310		0.000000	416,484	424,210
317U017I4 PIMCO SWAPTION 1.825 PUT USD 2022010		0.000000	(8,460)	(1,983)
317U867Z7 PIMCO SWAPTION 1.93625 PUT USD 20220		0.000000	(6,890)	(414)
317589J67 PIMCO CDSOPT PUT EUR 4.25 20220216		0.000000	(7,358)	(1,004)
317U173I4 PIMCO SWAPTION 1.52 CALL USD 2022011		0.000000	(9,300)	(3,102)
317U215I4 PIMCO SWAPTION 1.495 CALL USD 202201		0.000000	(7,785)	(1,773)
317U035I2 PIMCO SWAPTION 1.763 PUT USD 2022011		0.000000	(6,104)	(806)
317533RY5 PIMCO CDSOPT PUT USD 101.0 20220119		0.000000	(5,060)	(52)
317556RT7 PIMCO CDSOPT PUT EUR 4.0 20220216		0.000000	(5,043)	(658)
317U232I3 PIMCO SWAPTION 1.515 CALL USD 202201		0.000000	(6,800)	(2,469)
317U036I1 PIMCO SWAPTION 1.463 CALL USD 202201		0.000000	(6,104)	(1,872)
3175654F3 PIMCO CDSOPT PUT EUR 3.5 20220119		0.000000	(4,441)	(226)
3175839H7 PIMCO CDSOPT PUT EUR 3.75 20220119		0.000000	(3,832)	(182)
317557H90 PIMCO CDSOPT PUT EUR 3.5 20220119		0.000000	(3,279)	(169)
317525GI8 PIMCO CDSOPT PUT EUR 0.9 20220316		0.000000	(4,266)	(1,173)
317564ML3 PIMCO CDSOPT PUT USD 0.85 20220119		0.000000	(2,766)	(28)
317554NE9 PIMCO CDSOPT PUT USD 0.8 20220216		0.000000	(3,119)	(524)
317U330I4 PIMCO SWAPTION 1.96 PUT USD 20220131		0.000000	(4,663)	(2,098)
317U123I5 PIMCO SWAPTION 1.5325 CALL USD 20220		0.000000	(3,400)	(1,037)
317555DI8 PIMCO CDSOPT PUT USD 0.8 20220119		0.000000	(2,168)	(27)
317572LA1 PIMCO CDSOPT PUT EUR 0.8 20220119		0.000000	(2,078)	(74)
317566I2 P2 OTC EPUT FN 2.0 97.84375		0.000000	(2,000)	(35)
317566CK1 PIMCO CDSOPT PUT USD 0.9 20220420		0.000000	(3,380)	(1,445)
317595I40 PIMCO CDSOPT PUT EUR 0.9 20220316		0.000000	(2,481)	(552)
317595NW2 PIMCO CDSOPT PUT EUR 0.8 20220119		0.000000	(1,980)	(69)
3175611Q1 PIMCO CDSOPT PUT EUR 4.25 20220316		0.000000	(3,268)	(1,481)
317U213I6 PIMCO SWAPTION 1.218 CALL USD 202201		0.000000	(2,048)	(295)
3175ES290 PIMCO CDSOPT PUT USD 102.0 20220119		0.000000	(1,720)	(24)

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Identity of Issuer, Borrower, Lessor or Similar Party				
Description of Investment including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value				
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317553GC3 OTC EPUT FN 2.0 97.859375		0.000000	(1,688)	(27)
317553EO9 OTC EPUT FN 2.0 97.898437		0.000000	(1,688)	(29)
317U121I7 PIMCO SWAPTION 1.305 CALL USD 202201		0.000000	(2,475)	(821)
3175629V0 PIMCO CDSOPT PUT USD 0.95 20220316		0.000000	(2,109)	(515)
3175646R8 PIMCO CDSOPT PUT USD 0.95 20220420		0.000000	(2,550)	(958)
317593Y88 PIMCO CDSOPT PUT USD 0.95 20220420		0.000000	(2,423)	(910)
317551042 PIMCO CDSOPT PUT EUR 0.75 20220119		0.000000	(1,519)	(71)
317533A56 OTC EPUT FN 2.0 98.578125		0.000000	(1,500)	(86)
317585VE4 OTC EPUT FN 2.0 98.171875		0.000000	(1,430)	(44)
317562379 PIMCO CDSOPT PUT USD 1.0 20220316		0.000000	(1,625)	(279)
317561YS1 OTC EPUT FN 2.0 98.375		0.000000	(1,406)	(62)
317U172I5 PIMCO SWAPTION 1.82 PUT USD 20220118		0.000000	(9,300)	(7,959)
317515OI0 PIMCO CDSOPT PUT EUR 0.9 20220316		0.000000	(1,702)	(380)
317555U81 PIMCO CDSOPT PUT USD 0.95 20220316		0.000000	(1,625)	(352)
317U122I6 PIMCO SWAPTION 1.8325 PUT USD 202201		0.000000	(3,400)	(2,135)
317U231I4 PIMCO SWAPTION 1.355 CALL USD 202201		0.000000	(1,663)	(442)
3175955A0 PIMCO CDSOPT PUT EUR 0.8 20220316		0.000000	(2,418)	(1,199)
31750J3P8 PIMCO CDSOPT PUT USD 0.9 20220420		0.000000	(1,812)	(667)
317U120I8 PIMCO SWAPTION 1.605 PUT USD 2022011		0.000000	(2,475)	(1,357)
317U868Z6 PIMCO SWAPTION 1.53625 CALL USD 2022		0.000000	(6,890)	(5,795)
317594WE5 OTC ECAL FN 2.0 100.078125		0.000000	(1,336)	(332)
31750IWS2 OTC ECAL FN 2.0 100.054687		0.000000	(1,359)	(356)
317561KN7 PIMCO CDSOPT PUT USD 1.0 20220316		0.000000	(1,140)	(214)
317581528 PIMCO CDSOPT PUT EUR 0.85 20220420		0.000000	(2,435)	(1,529)
317513FO2 ECAL FN 2.0 FEB22 100.921875 CALL		0.000000	(1,547)	(694)
317552495 PIMCO CDSOPT PUT USD 0.9 20220316		0.000000	(1,110)	(311)
317512W80 OTC ECAL FN 2.0 100.578125		0.000000	(844)	(48)
317593W07 ECAL FN2.0 FEB22 100.33203125 CALL		0.000000	(2,777)	(1,988)
31750IWK9 OTC ECAL FN 2.0 JAN22 100.734375 CALL		0.000000	(797)	(22)
317556L55 OTC EPUT FN 2.0 98.789062		0.000000	(813)	(82)
317522688 OTC ECAL FN 2.0 100.375		0.000000	(844)	(117)
317555U73 OTC ECAL FN 2.0 100.171875		0.000000	(938)	(246)
31750IY76 OTC ECAL FN 2.0 99.84375		0.000000	(1,500)	(839)
317565I12 OTC EPUT FN 2.5 101		0.000000	(625)	(4)
317582ZR8 OTC EPUT FN 2.5 100.9375		0.000000	(609)	(3)
317591071 OTC ECAL FN 2.0 99.898437		0.000000	(1,125)	(549)
3175859P4 OTC ECAL FN 2.0 100.3125		0.000000	(1,207)	(677)
317512TI2 OTC ECAL FN 2.0 99.859375		0.000000	(1,125)	(605)
317573KU6 OTC EPUT FN 2.5 100.78125		0.000000	(500)	(1)
317572XJ9 OTC ECAL FN 2.0 100.789062		0.000000	(500)	(11)
317563YF5 OTC ECAL FN 2.0 100.296875		0.000000	(594)	(106)
317511K36 OTC ECAL FN 2.0 100.34375		0.000000	(1,125)	(654)
3175457D7 OTC ECAL FN 2.0 100.15625		0.000000	(1,219)	(799)
317562FZ4 OTC ECAL FN 2.5 103.328125		0.000000	(398)	-
317542Y10 OTC ECAL FN 2.0 100.8125		0.000000	(383)	(9)
317517IA0 OTC EPUT FN 2.0 98.96875		0.000000	(875)	(508)
317552JB4 ECAL FN 2.0 FEB22 100.125 CALL		0.000000	(2,016)	(1,652)
317524NB8 OTC ECAL FN 2.5 103		0.000000	(359)	(5)
317532M06 OTC EPUT G2 2.5 101.5		0.000000	(438)	(87)
317U229I8 PIMCO SWAPTION 1.815 PUT USD 2022012		0.000000	(6,800)	(6,462)
317541DL1 OTC ECAL FN 2.0 100.40625		0.000000	(949)	(612)
31750J303 OTC ECAL FN 2.0 FEB22 100.4375 CALL		0.000000	(1,125)	(789)
317544FB5 OTC ECAL FEB22 100.96875 CALL		0.000000	(531)	(219)

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317514123 OTC ECAL FN 2.0 100.765625		0.000000	(320)	(12)
317577GV0 OTC ECAL FN 2.5 102.9375		0.000000	(313)	(7)
317596401 OTC ECAL FN 2.0 100.296875		0.000000	(984)	(688)
317U21415 PIMCO SWAPTION 1.795 PUT USD 2022011		0.000000	(7,785)	(7,549)
317516UH3 PIMCO CDSOPT PUT EUR 0.8 20220216		0.000000	(240)	(42)
317596RP1 OTC ECAL FN 2.0 100.386718		0.000000	(820)	(645)
317517PK0 OTC ECAL FN 2.0 100.109375		0.000000	(734)	(560)
317517MA5 OTC ECAL FN 2.0 100.355468		0.000000	(820)	(669)
317521OD9 OTC ECAL FN 2.0 100.328125		0.000000	(797)	(666)
317576XY7 OTC EPUT FN 2.5 102.328125		0.000000	(688)	(566)
317599XC7 OTC ECAL FN 2.0 100.375		0.000000	(609)	(654)
317U23015 PIMCO SWAPTION 1.655 PUT USD 2022012		0.000000	(1,663)	(1,981)
317562SS6 OTC EPUT FN 3.0 JAN22 104.0625 PUT		0.000000	(516)	(1,231)
317U21217 PIMCO SWAPTION 1.518 PUT USD 2022011		0.000000	(2,048)	(2,833)
317U33113 PIMCO SWAPTION 1.66 CALL USD 2022013		0.000000	(4,663)	(7,657)
317U743Z7 PIMCO SWAPTION 1.27 PUT USD 20221102		0.000000	(187,170)	(230,194)
317U342Z2 PIMCO SWAPTION 0.020 PUT USD 2023102		0.000000	(417,714)	(501,656)
317U790Y2 PIMCO SWAPTION 0.0228 PUT USD 202306		0.000000	372,400	257,515
317U179X5 IRO EUR 10Y P0.1750 MAR23 NEG0.1750 PUT		0.000000	(100,100)	(219,652)
317U723Y4 PIMCO SWAPTION 0.02233 PUT USD 20230		0.000000	409,220	274,303
317U707Y4 PIMCO SWAPTION 0.022125 PUT USD 2023		0.000000	420,000	283,322
317U142X9 IRO EUR 10Y P0.175 MAR23 0.175 PUT		0.000000	(155,762)	(333,046)
Total Fixed Income - Options				(932,829)
SWU01AP15 IRS BRL P V 00MBRCDI SWUV1AP17 CCPNDFPREDISWAP		1.000000	(25,315,052)	(23,105,925)
SWU00OT61 IRS HUF P V 06MBUBOR SWUV0OT63 CCPVANILLA		1.680000	(2,572,536)	(2,015,127)
SWU01ANZ2 IRS MXN P V 01MTIIE SWUV1ANZ4 CCPVANILLA		5.710000	(10,901,361)	(10,525,287)
SWU016XD9 IRS ZAR P V 03MJIBAR SWUV16XD1 CCPVANILLA		3.867000	(6,018,524)	(5,689,223)
SWU01BAV3 IRS BRL P V 00MBRCDI SWUV1BAV5 CCPNDFPREDISWAP		1.000000	(3,583,608)	(3,339,318)
SWPCOKBS0 CDS EUR R F 1.00000 1 CCPITRAXX		1.000000	21,840,518	22,051,717
SWU017BD1 IRS ZAR P V 03MJIBAR SWUV17BD3 CCPVANILLA		3.883000	(2,391,675)	(2,186,717)
SWU01B1T8 IRS GBP P V 12MSONIA SWUV1B1T0 CCPOIS		1.000000	(9,279,162)	(9,074,816)
SWPC0GPG0 CDS EUR P V 03MEVENT 2 CCPITRAXX		1.000000	(2,101,201)	(1,933,240)
SWPC0JC45 CDS EUR R F 1.00000 1 CCPCORPORATE		1.000000	804,892	954,487
SWU010CK9 IRS CAD R F 1.22000 SWU010CK9 CCPVANILLA		1.220000	3,149,056	3,270,159
BWU01B1Q4 IRS EUR P F .25000 SWU01B1Q4 CCPVANILLA		0.250000	(2,599,670)	(2,481,628)
SWU01ANE9 IRS ZAR P V 03MJIBAR SWUV1ANE1 CCPVANILLA		3.867000	(773,409)	(657,895)
BWU01B1V3 IRS GBP P F .75000 SWU01B1V3 CCPOIS		0.750000	(2,492,909)	(2,383,239)
SWU01ANK5 IRS ZAR P V 03MJIBAR SWUV1ANK7 CCPVANILLA		3.867000	(662,922)	(563,910)
SWU010DI3 IRS CAD R F 1.23500 SWU010DI3 CCPVANILLA		1.235000	1,568,020	1,635,818
BWU01B1R2 IRS EUR P F .50000 SWU01B1R2 CCPVANILLA		0.500000	(2,008,680)	(1,943,552)
SWPC0H4V8 CDS USD R F 1.00000 FIX CORPORATE		1.000000	537,029	598,643
SWPC0FGA5 CDS USD R F 1.00000 FIX CORPORATE		1.000000	939,561	1,000,608
SWU01A053 IRS CAD P V 03MCDOR SWUV1A055 CCPVANILLA		0.457500	(4,558,724)	(4,512,528)
SWPC0K383 CDS EUR P V 03MEVENT 2 CCPCORPORATE		1.000000	(952,400)	(909,760)
SWU00UFD7 IRS CAD R F 1.90000 SWU00UFD7 CCPVANILLA		1.900000	987,890	1,030,383
SWPC0K3K6 CDS EUR P V 03MEVENT 2 CCPCORPORATE		1.000000	(950,560)	(909,760)
SWPC0HFC8 CDS USD R F 1.00000 FIX SOVEREIGN		1.000000	1,175,324	1,215,939
SWPC0HY94 CDS USD R F 1.00000 1 CCPCDX		1.000000	1,082,500	1,122,500
SWPC0JU94 CDS EUR P V 03MEVENT 2 CCPCORPORATE		1.000000	(485,960)	(454,880)
SWPC0KKK7 CDS EUR R F 1.00000 1 CCPCORPORATE		1.000000	2,948,889	2,978,602

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SWPCOH414 CDS USD R F	1.00000 FIX CORPORATE	1.000000	270,272	299,322
SWPCOFAA1 CDS EUR R F	1.00000 1 CCPCORPORATE	1.000000	430,654	456,849
SWU01D1T4 IRS USD R F	1.81750 SWU01D1T4 CCPVANILLA	1.817500	1,000,000	1,024,683
SWPCOK3J9 CDS EUR P V	03MEVENT 2 CCPCORPORATE	1.000000	(592,950)	(568,600)
SWPCOJJ55 CDS EUR P V	03MEVENT 2 CCPCORPORATE	1.000000	(364,800)	(341,160)
SWPCOH2A6 CDS USD R F	1.00000 FIX CORPORATE	1.000000	179,882	199,548
SWPCOIU70 CDS USD R F	1.00000 FIX CORPORATE	1.000000	383,936	396,259
SWPCOC0C5 CDS USD R F	.50000 1 CMBX	0.500000	192,347	201,460
SWPCOK5B4 CDS USD R F	1.00000 1 CCPCORPORATE	1.000000	3,813,983	3,822,792
SWPCOISE8 CDS USD R F	1.00000 FIX CORPORATE	1.000000	288,673	297,195
SWPCOJ5H4 CDS USD R F	1.00000 1 CCPCORPORATE	1.000000	194,936	203,352
SWU09GJ52 IRS GBP R F	3.58500 INFLATIONZERO CCP LCH	3.585000	128,871	135,426
SWPCOHF79 CDS USD R F	1.00000 FIX SOVEREIGN	1.000000	196,462	202,656
SWPCOJY5 CDS USD R F	1.00000 FIX CCPCORPORATE	1.000000	909,085	915,182
SWPCOI1T4 CDS EUR R F	1.00000 1 CCPCORPORATE	1.000000	225,372	231,265
SWPCOKBZ4 CDS USD R F	1.00000 1 CCPCDX	1.000000	7,370,420	7,375,841
BWU01CKK4 IRS USD P F	1.00000 SWU01CKK4 CCPOIS	1.000000	(1,000,000)	(995,171)
SWPCOJPR0 CDS EUR P V	03MEVENT 2 CCPCORPORATE	1.000000	(118,540)	(113,720)
SWPCOG9W3 CDS USD R F	1.00000 FIX SOVEREIGN	1.000000	198,335	203,057
SWPCOC1D2 CDS USD R F	.50000 1 CMBX	0.500000	96,069	100,730
SWPCOJXJ9 CDS EUR P V	03MEVENT 2 CCPCORPORATE	1.000000	(117,635)	(113,720)
SWPCOFLY7 CDS USD R F	.50000 1 CMBX	0.500000	97,038	100,822
SWPCOHTX7 CDS USD R F	.50000 1 CMBX	0.500000	499,370	503,056
SWPCOFR39 CDS USD R F	.50000 1 CMBX	0.500000	97,141	100,822
SWPCOHWY1 CDS USD R F	1.00000 FIX SOVEREIGN	1.000000	98,251	101,429
SWPCOKBE1 CDS USD R F	1.00000 1 CCPCORPORATE	1.000000	1,114,671	1,117,248
SWPCOKK76 CDS USD R F	1.00000 1 CCPCORPORATE	1.000000	706,732	709,288
SWPCOK9N4 CDS USD R F	1.00000 FIX SOVEREIGN	1.000000	1,001,942	1,004,184
SWPCOIHU4 CDS USD R F	1.00000 FIX SOVEREIGN	1.000000	99,371	101,528
SWPCOJYF6 CDS USD R F	1.00000 FIX SOVEREIGN	1.000000	99,219	100,820
SWPCOK4W9 CDS USD R F	1.00000 1 CCPCORPORATE	1.000000	99,285	100,112
SWPCOHKK4 CDS USD R F	1.00000 FIX SOVEREIGN	1.000000	49,400	49,883
SWPCOC0C5 CDS USD P V	01MEVENT 2 CMBX	1.000000	(199,861)	(199,861)
SWPCOC1D2 CDS USD P V	01MEVENT 2 CMBX	1.000000	(99,930)	(99,930)
SWPCOFGA5 CDS USD P V	03MEVENT FLO CORPORATE	1.000000	(1,000,000)	(1,000,000)
SWPCOFLY7 CDS USD P V	01MEVENT 2 CMBX	1.000000	(100,000)	(100,000)
SWPCOFR39 CDS USD P V	01MEVENT 2 CMBX	1.000000	(100,000)	(100,000)
SWPCOG9W3 CDS USD P V	03MEVENT FLO SOVEREIGN	1.000000	(200,000)	(200,000)
SWPCOGBH3 CDS USD P V	03MEVENT 2 CCPCORPORATE	1.000000	(200,000)	(200,000)
SWPCDX027 CDS USD P V	03MEVENT FLO CDXTRANCHE	1.000000	(100,000)	(100,000)
SWPCOGCR0 CDS USD P V	03MEVENT 2 CCPCORPORATE	1.000000	(2,000,000)	(2,000,000)
SWPCOH2A6 CDS USD P V	03MEVENT FLO CORPORATE	1.000000	(200,000)	(200,000)
SWPCOH414 CDS USD P V	03MEVENT FLO CORPORATE	1.000000	(300,000)	(300,000)
SWPCOH4V8 CDS USD P V	03MEVENT FLO CORPORATE	1.000000	(600,000)	(600,000)
SWPCOHF79 CDS USD P V	03MEVENT FLO SOVEREIGN	1.000000	(200,000)	(200,000)
SWPCOHFC8 CDS USD P V	03MEVENT FLO SOVEREIGN	1.000000	(1,200,000)	(1,200,000)
SWPC1HH01 CDS USD P V	03MEVENT FLO CDXTRANCHE	1.000000	(400,000)	(400,000)
SWPCOHKK4 CDS USD P V	03MEVENT FLO SOVEREIGN	1.000000	(50,000)	(50,000)
SWPCDX043 CDS USD P V	03MEVENT FLO CDXTRANCHE	1.000000	(100,000)	(100,000)
SWPCNC782 CDS USD P V	03MEVENT FLO CDXTRANCHE	1.000000	(400,000)	(400,000)
SWPCNC790 CDS USD P V	03MEVENT FLO CDXTRANCHE	1.000000	(100,000)	(100,000)
SWPCDX050 CDS USD P V	03MEVENT FLO CDXTRANCHE	1.000000	(100,000)	(100,000)
SWPCNC808 CDS USD P V	03MEVENT FLO CDXTRANCHE	1.000000	(100,000)	(100,000)

Rio Tinto America Inc. Retirement Plan Trust

Schedule H, Line 4i - Schedule of Assets (Held at End of Year) - As of December 31, 2021

(a)	(b)/(c)	(c)	(d)	(e)
Identity of Issuer, Borrower, Lessor or Similar Party				
Description of Investment including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value				
		Interest Rate	Cost - Base	Market Value - Base
SWPCOHTX7 CDS USD P V 01MEVENT 2 CMBX		1.000000	(500,000)	(500,000)
SWPCOHY1 CDS USD P V 03MEVENT FLO SOVEREIGN		1.000000	(100,000)	(100,000)
SWPCOHY94 CDS USD P V 03MEVENT 2 CCPCDX		1.000000	(1,128,000)	(1,128,000)
SWPCOIH59 CDS USD P V 03MEVENT FLO SOVEREIGN		1.000000	(200,000)	(200,000)
SWPCOIHU4 CDS USD P V 03MEVENT FLO SOVEREIGN		1.000000	(100,000)	(100,000)
SWPCOISE8 CDS USD P V 03MEVENT FLO CORPORATE		1.000000	(300,000)	(300,000)
SWPCOIU70 CDS USD P V 03MEVENT FLO CORPORATE		1.000000	(400,000)	(400,000)
SWPCOJ5H4 CDS USD P V 03MEVENT 2 CCPCORPORATE		1.000000	(200,000)	(200,000)
SWPCOJWP6 CDS USD P V 03MEVENT FLO SOVEREIGN		1.000000	(900,000)	(900,000)
SWPCOJYF6 CDS USD P V 03MEVENT FLO SOVEREIGN		1.000000	(100,000)	(100,000)
SWPCOJYY5 CDS USD P V 03MEVENT FLO CCPCORPORATE		1.000000	(900,000)	(900,000)
SWPCOK0C7 CDS USD P V 03MEVENT 2 CCPCORPORATE		1.000000	(200,000)	(200,000)
SWPCOK4W9 CDS USD P V 03MEVENT 2 CCPCORPORATE		1.000000	(100,000)	(100,000)
SWPCOK5B4 CDS USD P V 03MEVENT 2 CCPCORPORATE		1.000000	(3,800,000)	(3,800,000)
SWPCOK9N4 CDS USD P V 03MEVENT FLO SOVEREIGN		1.000000	(1,000,000)	(1,000,000)
SWPCOKBE1 CDS USD P V 03MEVENT 2 CCPCORPORATE		1.000000	(1,100,000)	(1,100,000)
SWPCOKBZ4 CDS USD P V 03MEVENT 2 CCPCDX		1.000000	(7,200,000)	(7,200,000)
SWPCOKFP2 CDS USD P V 03MEVENT 2 CCPCORPORATE		1.000000	(300,000)	(300,000)
SWU01D1T4 IRS USD P V 03MLIBOR SWUV1D1T6 CCPVANILLA		0.123630	(1,000,000)	(1,000,000)
SWPCOKK76 CDS USD P V 03MEVENT 2 CCPCORPORATE		1.000000	(700,000)	(700,000)
SWPCOKKC5 CDS USD P V 03MEVENT 2 CCPCORPORATE		1.000000	(2,000,000)	(2,000,000)
SWPCOKKA9 CDS USD P V 03MEVENT 2 CCPCORPORATE		1.000000	(2,800,000)	(2,800,000)
SWPCOKKB7 CDS USD P V 03MEVENT 2 CCPCORPORATE		1.000000	(2,100,000)	(2,100,000)
SWPCOK0C7 CDS USD R F 1.00000 1 CCPCORPORATE		1.000000	203,439	203,333
SWPCOJWP6 CDS USD R F 1.00000 FIX SOVEREIGN		1.000000	866,226	866,077
SWPCOKKB7 CDS USD R F 1.00000 1 CCPCORPORATE		1.000000	2,115,466	2,114,874
SWPCOKKC5 CDS USD R F 1.00000 1 CCPCORPORATE		1.000000	2,014,519	2,013,869
SWPCOJJ55 CDS EUR R F 1.00000 1 CCPCORPORATE		1.000000	335,676	334,780
SWPCOGBH3 CDS USD R F 1.00000 1 CCPCORPORATE		1.000000	203,095	201,631
SWPCNC808 CDS USD R F 5.00000 FIX CDXTRANCHE		5.000000	110,350	108,768
SWPCOKFP2 CDS USD R F 5.00000 1 CCPCORPORATE		5.000000	360,414	357,629
SWPCNC790 CDS USD R F 5.00000 FIX CDXTRANCHE		5.000000	111,650	108,768
SWPCDX043 CDS USD R F 5.00000 FIX CDXTRANCHE		5.000000	111,880	108,768
SWPCOIH59 CDS USD R F 1.00000 FIX SOVEREIGN		1.000000	200,784	197,403
SWPCOJXJ9 CDS EUR R F 1.00000 1 CCPCORPORATE		1.000000	119,409	115,676
SWPCOJPR0 CDS EUR R F 1.00000 1 CCPCORPORATE		1.000000	120,312	116,500
SWPCOI1T4 CDS EUR P V 03MEVENT 2 CCPCORPORATE		1.000000	(223,480)	(227,440)
BWU01CKK4 IRS USD R V 12MSOFR SWUV1CKK6 CCPOIS		0.050000	1,004,386	1,000,000
BWU01B1R2 IRS EUR R V 06MEURIB SWUV1B1R4 CCPVANILLA		1.000000	1,938,208	1,933,240
SWPCDX050 CDS USD R F 5.00000 FIX CDXTRANCHE		5.000000	113,875	104,750
SWPC1HH01 CDS USD R F 5.00000 FIX CDXTRANCHE		5.000000	445,220	435,072
SWU09GJ52 IRS GBP P V 12MUKPRI INFLATIONZERO UKRPI CCP LCH		3.585000	(124,690)	(135,445)
SWPCDX027 CDS USD R F 5.00000 FIX CDXTRANCHE		5.000000	115,900	104,750
SWPCOJC45 CDS EUR P V 03MEVENT 2 CCPCORPORATE		1.000000	(954,645)	(966,620)
SWPCNC782 CDS USD R F 5.00000 FIX CDXTRANCHE		5.000000	447,560	435,072
SWPCOKKA9 CDS USD R F 1.00000 1 CCPCORPORATE		1.000000	2,820,915	2,804,879
BWU01B1V3 IRS GBP R V 12MSONIA SWUV1B1V5 CCPOIS		1.000000	2,461,267	2,438,010
SWPCOGCR0 CDS USD R F 1.00000 1 CCPCORPORATE		1.000000	2,041,565	2,018,009
SWPCOFAA1 CDS EUR P V 03MEVENT 2 CCPCORPORATE		1.000000	(430,000)	(454,880)
SWPCOKKK7 CDS EUR P V 03MEVENT 2 CCPCORPORATE		1.000000	(2,931,629)	(2,956,719)
SWPCOK3J9 CDS EUR R F 1.00000 1 CCPCORPORATE		1.000000	598,585	573,445
SWU00UFD7 IRS CAD P V 03MCDOR SWUV0UFD9 CCPVANILLA		0.502500	(993,087)	(1,029,173)
SWU01A053 IRS CAD R F 1.96250 SWU01A053 CCPVANILLA		1.962500	4,558,533	4,521,663

Rio Tinto America Inc. Retirement Plan Trust

Schedule H, Line 4i - Schedule of Assets (Held at End of Year) - As of December 31, 2021

(a)	(b)/(c)	(c)	(d)	(e)
Identity of Issuer, Borrower, Lessor or Similar Party	Description of Investment including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Interest Rate	Cost - Base	Market Value - Base
SWPC0JU94 CDS EUR R F 1.00000 1 CCPCORPORATE		1.000000	481,757	444,792
SWPC0K3K6 CDS EUR R F 1.00000 1 CCPCORPORATE		1.000000	957,972	916,243
SWPC0K383 CDS EUR R F 1.00000 1 CCPCORPORATE		1.000000	962,110	912,859
BWU01B1Q4 IRS EUR R V 06MEURIB SWUV1B1Q6 CCPVANILLA		1.000000	2,557,351	2,501,839
SWU010D13 IRS CAD P V 03MCDOR SWUV10D15 CCPVANILLA		0.500000	(1,567,749)	(1,662,510)
SWU01ANK5 IRS ZAR R F 5.72250 SWU01ANK5 CCPVANILLA		5.722500	662,885	553,165
SWPC0KBS0 CDS EUR P V 03MEVENT 2 CCPITRAXX		1.000000	(21,377,507)	(21,493,075)
SWU01ANE9 IRS ZAR R F 5.68000 SWU01ANE9 CCPVANILLA		5.680000	773,762	644,271
SWU010CK9 IRS CAD P V 03MCDOR SWUV10CK1 CCPVANILLA		0.492500	(3,149,016)	(3,325,021)
SWPC0GPG0 CDS EUR R F 1.00000 1 CCPITRAXX		1.000000	2,137,008	1,958,076
SWU017BD1 IRS ZAR R F 4.84750 SWU017BD1 CCPVANILLA		4.847500	2,391,888	2,091,266
SWU01BAV3 IRS BRL R F 7.90000 SWU01BAV3 CCPNDFPREDISWAP		7.900000	3,583,178	3,206,424
SWU01B1T8 IRS GBP R F .50000 SWU01B1T8 CCPOIS		0.500000	9,246,281	8,823,570
SWU016XD9 IRS ZAR R F 5.02500 SWU016XD9 CCPVANILLA		5.025000	6,030,808	5,480,098
SWU000T61 IRS HUF R F 1.25000 SWU000T61 CCPVANILLA		1.250000	2,577,382	1,896,866
SWU01ANZ2 IRS MXN R F 6.01527 SWU01ANZ2 CCPVANILLA		6.015270	10,901,361	9,959,197
SWU01AP15 IRS BRL R F 6.78875 SWU01AP15 CCPNDFPREDISWAP		6.788750	25,296,478	22,235,468
Total Fixed Income - Swaps				(1,193,085)
Total Fixed Income - Credit Default Swaps, Interest Rate Swaps and Options				(1,755,818)
US TREASURY N/B 08/50 1.375		1.375000	28,710,819	31,832,650
US TREASURY N/B 02/41 1.875		1.875000	24,201,900	25,529,336
UNIV OF CALIFORNIA CA REVENUES UNVHGR 05/12 FIXED 4.858		4.858000	2,400,000	3,540,130
US TREASURY N/B 11/40 1.375		1.375000	18,627,764	19,727,282
BAY AREA CA TOLL AUTH TOLL BRI BAYTRN 10/50 FIXED 6.907		6.907000	1,760,312	2,331,618
CHICAGO IL TRANSIT AUTH SALES CHITRN 12/40 FIXED 6.899		6.899000	1,216,845	1,776,167
US TREASURY N/B 05/46 2.5		2.500000	6,261,749	6,684,589
US TREASURY N/B 05/48 3.125		3.125000	6,311,339	6,661,540
STRIP PRINC 11/39 0.00000		0.010000	5,680,801	6,025,598
US TREASURY N/B 08/41 1.75		1.750000	15,954,303	16,248,578
US TREASURY N/B 11/47 2.75		2.750000	3,057,395	3,282,107
US TREASURY N/B 02/48 3		3.000000	1,811,753	1,978,348
AMERICAN MUNI PWR OHIO INC OH AMEPWR 02/41 FIXED 7.834		7.834000	842,376	993,111
STRIP PRINC 08/44 0.00000		0.010000	1,956,456	2,103,876
US TREASURY N/B 05/41 2.25		2.250000	2,187,343	2,319,109
N TX TOLLWAY AUTH REVENUE NRTTRN 01/49 FIXED 6.718		6.718000	1,590,450	1,692,065
SAN DIEGO CNTY CA WTR AUTH FIN SDGWTR 05/49 FIXED 6.138		6.138000	1,908,670	2,003,011
CALIFORNIA ST CAS 04/39 FIXED 7.55		7.550000	2,190,689	2,280,604
LOS ANGELES CA CMNTY CLG DIST LOSHGR 08/49 FIXED 6.75		6.750000	1,632,260	1,721,423
NEW YORK CITY NY MUNI WTR FIN NYCUTL 06/43 FIXED 5.44		5.440000	1,100,888	1,156,838
MASSACHUSETTS ST TRANSPRTN FUN MASTRN 06/40 FIXED 5.731		5.731000	1,318,160	1,372,900
UNIV OF CALIFORNIA CA RGTS MED UNVHGR 05/49 FIXED 6.583		6.583000	800,624	848,122
UNIV OF CALIFORNIA CA REVENUES UNVHGR 05/45 FIXED 5.946		5.946000	806,442	849,858
NEW YORK CITY NY TRANSITIONAL NYCGEN 08/37 FIXED 5.508		5.508000	1,376,129	1,414,431
NEW JERSEY ST TURNPIKE AUTH TU NJSTRN 01/40 FIXED 7.414		7.414000	954,061	974,973
US TREASURY N/B 10/28 1.375		1.375000	5,268,246	5,282,686
DALLAS CNTY TX HOSP DIST DALMED 08/44 FIXED 5.621		5.621000	239,719	252,980
NEW YORK CITY NY MUNI WTR FIN NYCUTL 06/42 FIXED 5.952		5.952000	295,155	308,354
LOS ANGELES CA UNIF SCH DIST LOSSCD 07/34 FIXED 6.758		6.758000	2,503,842	2,515,837
MET TRANSPRTN AUTH NY REVENUE MTATRN 11/40 FIXED 6.814		6.814000	1,416,060	1,427,322
US TREASURY N/B 08/51 2		2.000000	(1,089,902)	(1,079,691)
NEW YORK NY NYC 12/37 FIXED 6.271		6.271000	1,074,838	1,079,968

Rio Tinto America Inc. Retirement Plan Trust

Schedule H, Line 4i - Schedule of Assets (Held at End of Year) - As of December 31, 2021

(a)	(b)/(c)	(c)	(d)	(e)
Identity of Issuer, Borrower, Lessor or Similar Party				
Description of Investment including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value				
		Interest Rate	Cost - Base	Market Value - Base
SAN ANTONIO TX ELEC GAS REVE SANUTL 02/39 FIXED 5.985		5.985000	291,856	296,639
US TREASURY N/B 11/31 1.375		1.375000	8,221,362	8,224,761
CONNECTICUT ST CTS 03/32 FIXED 5.85		5.850000	453,138	455,096
TSY INFL IX N/B 01/26 0.625		0.625000	1	1
US TREASURY N/B 08/30 0.625		0.625000	4,586,282	4,578,559
TEXAS ST TRANSPRTN COMMISSIONS TXSTRN 04/26 FIXED 5.028		5.028000	843,488	826,865
US TREASURY N/B 02/31 1.125		1.125000	5,073,070	5,053,547
US TREASURY N/B 08/51 2		2.000000	10,161,054	10,118,776
US TREASURY N/B 11/51 1.875		1.875000	12,212,708	12,162,828
US TREASURY N/B 05/50 1.25		1.250000	2,692,099	2,635,285
US TREASURY N/B 11/49 2.375		2.375000	95,103,277	94,860,552
US TREASURY N/B 05/51 2.375		2.375000	60,817,668	60,570,073
US TREASURY N/B 08/49 2.25		2.250000	23,521,743	22,839,022
Total Fixed Income - U.S. Government Securities				377,757,724
STANDARD INDUSTRIES INC. 2021 TERM LOAN B		0.000000	190,154	192,475
Total Fixed Income				810,488,816
Commingled Funds (Fixed Income)				
PIMCO FDS PAC INVT MGMT SER ASSET BKD SECS PORTFOLIO		0.000000	3,258,802	3,291,361
PIMCO FDS SHORT TERM FLTG NAV MUTUAL FUND		0.000000	177,908	177,906
Total Fixed Income Commingled Funds				3,469,267
Loans Secured by Mortgages				
FNMA TBA 30 YR 3.5 SINGLE FAMILY MORTGAGE		3.500000	6,261,970	6,272,549
FNMA TBA 30 YR 2 SINGLE FAMILY MORTGAGE		2.000000	(2,591,824)	(2,588,333)
GNMA II TBA 30 YR 2.5 JUMBOS		2.500000	1,326,000	1,329,250
BANK BANK 2019 BN21 A5		2.851000	96,195	99,000
BANK BANK 2019 BN20 A3		3.011000	60,150	61,722
GNMA II TBA 30 YR 2 JUMBOS		2.000000	502,539	503,887
FNMA POOL AS5068 FN 06/45 FIXED 3.5		3.500000	87,679	88,860
FNMA TBA 30 YR 3 SINGLE FAMILY MORTGAGE		3.000000	412,813	413,723
FNMA TBA 30 YR 2.5 SINGLE FAMILY MORTGAGE		2.500000	(407,195)	(407,408)
FNMA TBA 30 YR 4 SINGLE FAMILY MORTGAGE		4.000000	10,534,219	10,527,644
FNMA TBA 30 YR 4.5 SINGLE FAMILY MORTGAGE		4.500000	7,128,773	7,072,313
Total Loans Secured by Mortgages				23,373,207
Partnership/Joint Ventures Interest				
* AXA EARLY SECONDARY FUND V MUTUAL FUND		0.000000	1,568,577	8,958,976
* AXA CAPITAL EUROPE LP PRIVATE PLACEMENT		0.000000	87,385	481,395
* AXA CAPITAL AMERICA LP LP PRIVATE PLACEMENT		0.000000	62,773	424,427
* AXA PRIVATE EQUITY FD II PRIVATE EQUITY		0.000000	9,582	9,853
* AXA SECONDARY FUND V, PL LIMITED PARTNERSHIP		0.000000	350,441	187,729
PANTHEON USD FUND IX LIMITED PARTNERSHIP		0.000000	5,848,487	25,054,573
WALTON STREET REAL ESTATE MUTUAL FUNDS FUND VI		0.000000	240,650	14,925,722
AESF VI LP		0.000000	11,252,930	21,912,115
ARDIAN SECONDARY FUND VII LIMITED PARTNERSHIP		0.000000	6,305,630	16,789,675
WALTON REAL ESTATE FUND VIII, PRIVATE PLACEMENT		0.000000	10,181,581	19,890,443
PANTHEON EUROPE FUND VII LP MUTUAL FUND		0.000000	184,321	7,942,028
WALTON STREET RE VII LIMITED PARTNERSHIP		0.000000	1	6,254,254
NORTHLEAF GLBL PVT EQTY III LIMITED PARTNERSHIP		0.000000	2,380,554	9,265,353
PANTHEON USA FUND VIII LP LP PRIVATE PLACEMENT		0.000000	1,898,233	6,869,500

Rio Tinto America Inc. Retirement Plan Trust

Schedule H, Line 4i - Schedule of Assets (Held at End of Year) - As of December 31, 2021

(a)	(b)/(c)	(c)	(d)	(e)
Identity of Issuer, Borrower, Lessor or Similar Party				
Description of Investment including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value				
		Interest Rate	Cost - Base	Market Value - Base
PANTHEON ASIA FUND VI LP COMMON STOCK		0.000000	8,942,212	13,476,087
DRA GROWTH + INCOME FUND IX		0.000000	12,640,082	16,536,641
PORTFOLIO ADVISORS PRIVATE EQ FUND VI LP		0.000000	2,611,521	5,994,705
PANTHEON ASIA FUND V LP LP PRIVATE PLACEMENT		0.000000	223,689	2,177,117
DRA GROWTH AND INCOME FUND VII LIMITED PARTNERSHIP		0.000000	3,762,784	2,980,947
PORTFOLIO ADVISORS SF II LIMITED PARTNERSHIP		0.000000	7,509,183	5,174,571
Total Partnership/Joint Ventures				185,306,111
552992935 JPM STRATEGIC PROPRT JPMCB COMMINGLED FUND		0.000000	24,864,462	50,804,689
Total Real Estate Commingled Fund				50,804,689
Total Partnership/Joint Ventures Interest				236,110,800
Preferred Stock				
* STATE STREET CORP PREFERRED STOCK VAR		0.000000	45,000	49,159
JPMORGAN CHASE + CO PREFERRED STOCK 4.2		0.000000	2,500,000	2,552,000
JPMORGAN CHASE + CO PREFERRED STOCK 4.625		0.000000	500,000	522,200
Total Preferred Stock				3,123,359
Cash Collateral				
FUTURES MORGAN STANLEY COC FUTURES CASH COLLATERALRAL USD		0.000000	1,534,000	1,534,000
BARCLAYS CAPITAL INC DOM MSF CASH COLLATERAL		0.000000	2,000	2,000
MORGAN STANLEY TBA CASH COLLATERAL		0.000000	(10,000)	(10,000)
CCMSCZUS2 CCPC COC EQUITY MORGAN STANLEY CASH COLLATERAL		0.000000	2,747,000	2,747,000
SWAP CCPC MORGAN STANLEY COC SWAP CCPC CASH COLLATERAL		0.000000	1,186,000	1,186,000
CCTORIUS6 TD BANK COC SWCC CCTORIUS6 TD BANK COC SWCC		0.000000	60,000	60,000
CCPC CCMSCHUS2 COC CCPC CASH COLLATERAL USD		0.000000	39,000	39,000
FORWARDS CCUBSDUS2 USD COC FWCC CASH COLLATERAL USD		0.000000	1,210,000	1,210,000
CCMYIUS1 SWBC MORGAN STANLEY SWAP CASH COLLATERAL USD		0.000000	(10,000)	(10,000)
SWAP BANK OF AMERICA COC SWAP CASH COLLATERAL USD		0.000000	290,000	290,000
GOLDMAN SACHS BANK USA COC SWAP CASH COLLATERAL USD		0.000000	320,000	320,000
MORGAN STANLEY CAP SVCS BOC SWAP CASH COLLATERAL USD		0.000000	(20,000)	(20,000)
MORGAN STANLEY CAP SVCS COC SWAP CASH COLLATERAL USD		0.000000	210,000	210,000
Total Cash Collateral				7,558,000
Total Investments per Financial Statements and Form 5500				1,117,621,844

* A party-in-interest as defined by ERISA.

Rio Tinto America Inc. Retirement Plan

Schedule H - Line 4j, Schedule of Reportable Transactions - For the Year Ended December 31, 2021

EIN: 11-3359689
Plan Number: 001

(a)/(b)	(c)	(d)	(g)	(h)	(i)	
Identity of Party Involved/ Description of Asset	# of Transactions	Purchase Price	Selling Price	Cost of Asset	Current Value of Asset on Transaction Date	Net Gain (Loss)
<u>Single transactions in excess of 5% of Plan Assets</u>						
US TREASURY N/B 05/51 2.375	1	\$ 54,087,478	\$ -	\$ 54,087,478	\$ 54,087,478	\$ -
US TREASURY N/B 05/51 2.375	1	-	54,093,750	55,388,858	54,093,750	(1,295,108)
US TREASURY N/B 05/51 2.375	1	54,415,444	-	54,415,444	54,415,444	-
US TREASURY N/B 05/51 2.375	1	-	54,437,500	54,165,320	54,437,500	272,180
US TREASURY N/B 05/51 2.375	1	55,956,155	-	55,956,155	55,956,155	-
US TREASURY N/B 05/51 2.375	1	-	55,968,750	54,398,920	55,968,750	1,569,830
US TREASURY N/B 05/51 2.375	1	55,649,983	-	55,649,983	55,649,983	-
US TREASURY N/B 05/51 2.375	1	-	55,656,250	55,656,658	55,656,250	(408)
US TREASURY N/B 05/51 2.375	1	54,737,521	-	54,737,521	54,737,521	-
US TREASURY N/B 05/51 2.375	1	-	54,750,000	55,649,983	54,750,000	(899,983)
US TREASURY N/B 05/51 2.375	1	55,259,388	-	55,259,388	55,259,388	-
US TREASURY N/B 05/51 2.375	1	-	55,265,625	54,737,521	55,265,625	528,104
US TREASURY N/B 05/51 2.375	1	55,012,506	-	55,012,506	55,012,506	-
US TREASURY N/B 05/51 2.375	1	-	55,015,625	55,259,388	55,015,625	(243,763)
US TREASURY N/B 05/51 2.375	1	55,371,882	-	55,371,882	55,371,882	-
US TREASURY N/B 05/51 2.375	1	-	55,375,000	55,190,021	55,375,000	184,979
US TREASURY N/B 05/51 2.375	1	55,399,938	-	55,399,938	55,399,938	-
US TREASURY N/B 05/51 2.375	1	-	55,421,875	55,190,021	55,421,875	231,854
US TREASURY N/B 05/51 2.375	1	55,290,562	-	55,290,562	55,290,562	-
US TREASURY N/B 05/51 2.375	1	-	55,312,500	55,399,938	55,312,500	(87,438)
US TREASURY N/B 05/51 2.375	1	55,461,836	-	55,461,836	55,461,836	-
US TREASURY N/B 05/51 2.375	1	-	55,718,750	55,369,148	55,718,750	349,602
US TREASURY N/B 05/51 2.375	1	56,359,147	-	56,359,147	56,359,147	-
US TREASURY N/B 05/51 2.375	1	55,594,724	-	55,594,724	55,594,724	-
US TREASURY N/B 05/51 2.375	1	-	56,375,000	55,454,053	56,375,000	920,947
US TREASURY N/B 05/51 2.375	1	-	55,812,500	56,359,147	55,812,500	(546,647)
US TREASURY N/B 05/51 2.375	1	55,843,750	-	55,843,750	55,843,750	-
US TREASURY N/B 05/51 2.375	1	-	55,840,516	55,719,237	55,840,516	121,279
US TREASURY N/B 05/51 2.375	1	55,703,125	-	55,703,125	55,703,125	-
US TREASURY N/B 05/51 2.375	1	-	55,693,377	55,711,181	55,693,377	(17,804)

Continued.

Rio Tinto America Inc. Retirement Plan

Schedule H - Line 4j, Schedule of Reportable Transactions - For the Year Ended December 31, 2021

EIN: 11-3359689
Plan Number: 001

(a)/(b)		(c)	(d)	(g)	(h)	(i)
Identity of Party Involved/ Description of Asset	# of Transactions	Purchase Price	Selling Price	Cost of Asset	Current Value of Asset on Transaction Date	Net Gain (Loss)
<u>Series of transactions in excess of 5% of Plan Assets</u>						
UBS Domestic MSF CashCollateral	33	\$ 28,020,000	\$ -	\$ 28,020,000	\$ 28,020,000	\$ -
UBS Domestic MSF CashCollateral	34	-	28,020,000	28,020,000	28,020,000	-
State Street Bank + Trust Company Short Term						
* Investment Fund	238	221,603,319	-	221,603,319	221,603,319	-
State Street Bank + Trust Company Short Term						
* Investment Fund	192	-	219,553,286	219,553,286	219,553,286	-
US Treasury Repo	5	45,500,000	-	45,500,000	45,500,000	-
US Treasury Repo	5	-	45,500,000	45,500,000	45,500,000	-
FNMA TBA 30 YR 3 SINGLE FAMILY MORTGAGE	3	24,949,906	-	24,949,906	24,949,906	-
FNMA TBA 30 YR 3 SINGLE FAMILY MORTGAGE	2	-	24,529,781	24,537,094	24,529,781	(7,313)
FNMA TBA 30 YR 3.5 SINGLE FAMILY MORTGAGE	4	33,538,502	-	33,538,502	33,538,502	-
FNMA TBA 30 YR 3.5 SINGLE FAMILY MORTGAGE	7	-	60,726,794	60,668,213	60,726,794	58,581
FNMA TBA 30 YR 3.5 SINGLE FAMILY MORTGAGE	3	57,936,285	-	57,936,285	57,936,285	-
FNMA TBA 30 YR 3.5 SINGLE FAMILY MORTGAGE	2	-	51,638,170	51,674,314	51,638,170	(36,144)
FNMA TBA 30 YR 3.5 SINGLE FAMILY MORTGAGE	2	51,557,320	-	51,557,320	51,557,320	-
FNMA TBA 30 YR 3.5 SINGLE FAMILY MORTGAGE	2	-	51,519,273	51,557,320	51,519,273	(38,047)
FNMA TBA 30 YR 3.5 SINGLE FAMILY MORTGAGE	2	51,747,555	-	51,747,555	51,747,555	-
FNMA TBA 30 YR 3.5 SINGLE FAMILY MORTGAGE	2	-	51,753,262	51,747,555	51,753,262	5,707
FNMA TBA 30 YR 3.5 SINGLE FAMILY MORTGAGE	10	44,712,376	-	44,712,376	44,712,376	-
FNMA TBA 30 YR 3.5 SINGLE FAMILY MORTGAGE	10	-	44,608,946	44,712,376	44,608,946	(103,430)

Continued.

Rio Tinto America Inc. Retirement Plan

Schedule H - Line 4j, Schedule of Reportable Transactions - For the Year Ended December 31, 2021

EIN: 11-3359689
Plan Number: 001

(a)/(b)	(c)	(d)	(g)	(h)	(i)	
Identity of Party Involved/ Description of Asset	# of Transactions	Purchase Price	Selling Price	Cost of Asset	Current Value of Asset on Transaction Date	Net Gain (Loss)
FNMA TBA 30 YR 3.5 SINGLE FAMILY MORTGAGE	4	26,174,448	-	26,174,448	26,174,448	-
FNMA TBA 30 YR 3.5 SINGLE FAMILY MORTGAGE	4	-	26,175,113	26,172,768	26,175,113	2,345
US TREASURY N/B 11/49 2.375	53	386,344,079	-	386,344,079	386,344,079	-
US TREASURY N/B 11/49 2.375	54	-	421,876,330	437,949,721	421,876,330	(16,073,391)
US TREASURY N/B 08/50 1.375	57	1,282,468,611	-	1,282,468,611	1,282,468,611	-
US TREASURY N/B 08/50 1.375	61	-	1,302,939,128	1,308,822,954	1,302,939,128	(5,883,826)
US TREASURY N/B 11/50 1.375	58	145,094,933	-	145,094,933	145,094,933	-
US TREASURY N/B 11/50 1.375	6	-	149,804,560	149,758,226	149,804,560	46,334
US TREASURY N/B 11/40 1.375	18	117,530,823	-	117,530,823	117,530,823	-
US TREASURY N/B 11/40 1.375	18	-	117,672,038	120,209,824	117,672,038	(2,537,786)
US TREASURY N/B 05/51 2.375	46	1,264,044,722	-	1,264,044,722	1,264,044,722	-
US TREASURY N/B 05/51 2.375	50	-	1,204,785,248	1,203,227,054	1,204,785,248	1,558,194
US TREASURY N/B 08/51 2	30	240,147,585	-	240,147,585	240,147,585	-
US TREASURY N/B 08/51 2	30	-	231,071,383	231,076,432	231,071,383	(5,049)
US TREASURY N/B 11/51 1.875	16	136,819,424	-	136,819,424	136,819,424	-
US TREASURY N/B 11/51 1.875	12	-	124,927,125	124,606,716	124,927,125	320,409
US TREASURY N/B 08/30 0.625	84	236,913,010	-	236,913,010	236,913,010	-
US TREASURY N/B 08/30 0.625	85	-	239,908,407	240,120,367	239,908,407	(211,960)
US TREASURY N/B 11/30 0.875	124	1,150,284,611	-	1,150,284,611	1,150,284,611	-
US TREASURY N/B 11/30 0.875	125	-	1,161,031,929	1,161,508,739	1,161,031,929	(476,810)
US TREASURY N/B 02/31 1.125	78	932,861,728	-	932,861,728	932,861,728	-
US TREASURY N/B 02/31 1.125	78	-	928,002,897	927,788,658	928,002,897	214,239
US TREASURY N/B 11/31 1.375	17	87,871,267	-	87,871,267	87,871,267	-
US TREASURY N/B 11/31 1.375	14	-	79,712,686	79,649,875	79,712,686	62,811
Interest Rate Swap	3	41,326,870	-	41,326,870	41,326,870	-
Interest Rate Swap	3	-	43,461,421	41,326,870	43,461,421	2,134,551
Interest Rate Swap	3	43,780,389	-	43,780,389	43,780,389	-
Interest Rate Swap	3	-	41,335,083	43,780,389	41,335,083	(2,445,306)
PIMCO FDS SHORT TERM FLTG NAV MUTUAL FUND	32	27,100,249	-	27,100,249	27,100,249	-
PIMCO FDS SHORT TERM FLTG NAV MUTUAL FUND	17	-	28,300,000	28,300,204	28,300,000	(204)

*Represents a party-in-interest as defined by ERISA.
There were no category (ii) or (iv) reportable transactions during 2021.

Rio Tinto America Inc. Retirement Plan

Schedule G, Part III - Schedule of Non-Exempt Transactions - For the Year Ended December 31, 2021

EIN: 11-3359689
Plan Number: 001

(a)	(b)	(c)	(g)					
Identity of Party Involved	Relationship to Plan, Employer or Other Party-in-Interest	Description of Transaction Including Maturity Date, Rate of Interest, Collateral, par or Maturity Value	Transaction Expense	Amount of Earnings	Total Transaction	Date of Principal Correction	Date of Earnings Correction	
* State Street Trust Co	Custodian	Overpayment of custodial fees on November 26, 2019	\$ 9,942	\$ 368	\$ 10,310	April 30, 2020	September 10, 2021	

* A party-in-interest as defined by ERISA.

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Schedule SB, line 26—Schedule of Active Participant Data as of January 1, 2021

**Schedule SB, Line 26—Schedule of Active Participant Data
As of January 1, 2021**

**Rio Tinto
Rio Tinto America Inc. Retirement Plan
Legacy RTA and Alcan Active Employees
EIN: 11-3359689 PN: 001**

Attained Age	Number of Participants, Average Compensation and Average Cash Balance Account									
	Years of Credited Service									
	<1	1-4	5-9	10-14	15-19	20-24	25-29	30-34	35-39	40+
<25										
25-29										
30-34					1					
35-39	6	4		3	2					
40-44	6	18	3	3	9					
45-49	3	23 \$175,526 \$3,095	4	6	16	1				
50-54	2	12	5	9	20 \$141,958 \$29,316	1		1		
55-59	1	6	5	8	17	3	2	2	3	
60-64	2	3	9	5	31 \$146,842 \$104,384	4	4		2	6
65-69		2	2	1	4	3	1			1
70+			2		2	1		1		

N-291

Note: The average cash balance account shown is an average of the cash balance accounts for all plan participants, including those with a balance of \$0.

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

**Schedule SB, Line 26—Schedule of Active Participant Data
As of January 1, 2021**

**Rio Tinto
Rio Tinto America Inc. Retirement Plan
Legacy Kennecott Active Employees
EIN: 11-3359689 PN: 001**

Attained Age	Number of Participants									
	Years of Credited Service									
	<1	1-4	5-9	10-14	15-19	20-24	25-29	30-34	35-39	40+
<25	1	10								
25-29	2	43	5							
30-34	3	48	38	10						
35-39	3	47	70	59	14					
40-44	4	50	66	70	29	12	1			
45-49	2	30	46	53	35	33	16	1		
50-54		38	52	40	20	38	25	2		
55-59		20	36	36	15	22	20	2	2	
60-64		10	19	16	15	18	11	7	13	9
65-69		2	2	6	3	6	2	1	2	9
70+				1						

N-1321

Note: Current compensation data was not included since current compensation is not taken into account under the plan's benefit formula.

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

**Schedule SB, Line 26—Schedule of Active Participant Data
As of January 1, 2021**

**Rio Tinto
Rio Tinto America Inc. Retirement Plan
Legacy Borax Active Employees
EIN: 11-3359689 PN: 001**

Attained Age	Number of Participants									
	Years of Credited Service									
	<1	1-4	5-9	10-14	15-19	20-24	25-29	30-34	35-39	40+
<25										
25-29										
30-34		1	1	8						
35-39		3	4	10	6					
40-44	1	7	6	21	9	4				
45-49	2	2	7	10	9	12	5			
50-54		4	3	14	5	18	6	2		
55-59	1	4	2	8	12	16	4	6	4	2
60-64	1	1	1	13	8	13	9	3	6	23
65-69		1			4	1			1	4
70+										1

N-329

Note: Current compensation data was not included since current compensation is not taken into account under the plan's benefit formula.

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Schedule SB, Part V—Statement of Actuarial Assumptions/Methods

Interest Rates for Minimum Funding Purposes	Based on segment rates with a four-month lookback (as of September 2020), each adjusted as needed to fall within the 25-year average interest rate stabilization corridor
1st Segment Rate	4.75%
2nd Segment Rate	5.36%
3rd Segment Rate	6.11%
Interest Rates for Maximum Tax Purposes	Based on segment rates with a four-month lookback (as of September 2020), without regard to interest rate stabilization
1st Segment Rate	2.22%
2nd Segment Rate	3.38%
3rd Segment Rate	3.92%
Salary Increases	3.60%
Cash Balance Interest Crediting Rate	5.00%
Cash Balance Annuity Conversion Rate	Same as funding interest rates above
Social Security Wage Base Increases	Future wage indices are based on a national wage increase of 2.60% per year, based on an inflation assumption of 2.10% plus 0.50% per year.

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Optional Payment Form Election Percentage for the Legacy-RTA and Legacy-Alcan Plans	30% life annuity
Non-Cash Balance RTA Active Participants	30% joint and 50% life annuity
	30% joint and 100% life annuity
	10% 10 year certain and life annuity
Non-Cash Balance RTA Terminated Vested Participants	30% life annuity
	30% joint and 50% life annuity
	30% joint and 100% life annuity
	10% 10 year certain and life annuity
Cash Balance Active Participants	100% lump sum immediately for participants that retire from active service
	100% lump sum at assumed average terminated vested retirement age (see Table 4) for participants that terminate prior to retirement eligibility
Cash Balance Terminated Vested Participants	100% lump sum at assumed terminated vested retirement age (see Table 4)
Active and Vested Legacy ACPP Participants	20% 5-year certain and life annuity
	50% joint and 50% survivor annuity
	30% joint and 100% survivor annuity
Active PPPI and All Other Vested Participants	50% single life annuity
	25% joint and 50% survivor annuity
	25% joint and 100% survivor annuity
RTA and Alcan Optional Payment Form Conversion Interest Rate and Mortality	
Lump Sums	Same as funding interest rates above
All Other Optional Forms	6.00%
RTA and Alcan Optional Payment Form Conversion Mortality	
Lump Sums	Current IRC section 417(e) table for lump sums
All Other Optional Forms	2021 417(e) mortality table

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Optional Payment Form Election Percentage for
the Legacy-Borax Plan

Active Participants

35% life annuity
35% joint and 50% survivor annuity
10% joint and 66 2/3% survivor annuity
20% joint and 100% survivor annuity

Terminated Vested Participants

65% life annuity
20% joint and 50% survivor annuity
15% joint and 100% survivor annuity

Optional Payment Form Conversion for the
Legacy-Borax Plan

6.00% interest rate and 2021 417(e) Mortality
Table.

Optional Payment Form Election Percentage for
the Legacy-Kennecott Plan

Active Participants

30% life annuity
70% joint and 55% survivor annuity

Terminated Vested Participants

45% life annuity
30% joint and 55% survivor annuity
25% joint and 100% survivor annuity

Optional Payment Form Conversion for the
Legacy-Kennecott Plan

The joint and 55% survivor annuity monthly
benefit is equal to 90% of the monthly benefit
payable as a life annuity.

The joint and 100% survivor annuity monthly
benefit is converted using an interest rate of 6%
and the 2021 417(e) Mortality Table.

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Retirement Age

Active Participants – RTA and Alcan	See Table 1
Active Participants – Kennecott	See Table 2
Active Participants – Borax	See Table 3
Terminated Vested Participants – RTA and Alcan	See Table 4
Terminated Vested Participants – Kennecott	Age 62
Terminated Vested Participants – Borax	Age 61
Alcan LTD Participants	Age 65

Mortality Rates

Healthy and Disabled	2021 static mortality table for annuitants and non-annuitants per §1.430(h)(3)-1(e) and IRS Notice 2019-067
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Withdrawal Rates – RTA and Alcan	See Table 5
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Withdrawal Rates – Kennecott	See Table 6
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Withdrawal Rates – Borax	See Table 7
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Disability Rates – Kennecott	See Table 8
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Decrement Timing	Middle of year decrements (except that retirement is assumed to occur at the beginning of the year for ages where the assumed retirement rate is 100%)
------------------	--

Surviving Spouse Benefit	It is assumed that 75% of males and 75% of females have an eligible spouse, and that males are three years older than their spouses.
--------------------------	--

Valuation Compensation	2020 pensionable earnings rolled forward one year with the salary increase assumption.
------------------------	--

Benefit and Compensation Limits	Projected benefits and compensation are limited by the current IRC section 415 maximum benefit of \$230,000 and the IRC section 401(a)(17) compensation limit of \$290,000.
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Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Valuation of Plan Assets

Smoothed fair market value of assets over the current and prior two years, adjusted for contributions, benefit payments, administrative expenses, and expected earnings. The average value of assets calculated in this manner is further limited to not less than 90% nor more than 110% of fair market value.

A characteristic of this method is that the expected distribution of the value of plan assets is skewed toward understatement relative to the corresponding market values for expected long-term rates of return in excess of the third segment rate under IRC section 430(h)(2)(C)(iii).

Expected Return on Assets

2019 Plan Year	5.50%
2020 Plan Year	4.90%
2021 Plan Year	4.10%

Trust Expenses Included in Target Normal Cost

\$3,827,495, based on the prior year's actual plan administrative expenses (excluding PBGC premiums) plus the estimated PBGC premium for the current year.

Actuarial Method

Standard unit credit cost method

Valuation Date

January 1, 2021

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Table 1

Retirement Rates—RTA and Alcan Active Participants

<u>Age</u>	<u>Rate</u>
55	10.00%
56	5.00%
57	5.00%
58	5.00%
59	5.00%
60	10.00%
61	10.00%
62	25.00%
63	15.00%
64	15.00%
65	50.00%
66	50.00%
67	50.00%
68	50.00%
69	50.00%
70+	100.00%

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Table 2—Page 1 of 3

Retirement Rates – Kennecott Active Participants

Age	Years of Service					
	0-4	5-9	10	11	12	13
50	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
51	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
52	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
53	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
54	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
55	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
56	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
57	0.00%	0.00%	0.00%	0.00%	0.00%	3.00%
58	0.00%	0.00%	0.00%	0.00%	3.00%	3.00%
59	0.00%	0.00%	0.00%	3.00%	3.00%	3.00%
60	0.00%	0.00%	3.00%	3.00%	3.00%	3.00%
61	0.00%	0.00%	3.00%	3.00%	3.00%	3.00%
62	0.00%	0.00%	3.00%	3.00%	3.00%	3.00%
63	0.00%	0.00%	3.00%	3.00%	3.00%	3.00%
64	0.00%	0.00%	3.00%	3.00%	3.00%	3.00%
65	0.00%	25.00%	25.00%	25.00%	25.00%	25.00%
66	0.00%	25.00%	25.00%	25.00%	25.00%	25.00%
67	0.00%	25.00%	25.00%	25.00%	25.00%	25.00%
68	0.00%	50.00%	50.00%	50.00%	50.00%	50.00%
69	0.00%	50.00%	50.00%	50.00%	50.00%	50.00%
70+	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Table 2—Page 2 of 3

Retirement Rates – Kennecott Active Participants

Age	Years of Service					
	14	15-25	26	27	28	29
50	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
51	0.00%	0.00%	0.00%	0.00%	0.00%	3.00%
52	0.00%	0.00%	0.00%	0.00%	3.00%	3.00%
53	0.00%	0.00%	0.00%	3.00%	3.00%	3.00%
54	0.00%	0.00%	3.00%	3.00%	3.00%	3.00%
55	0.00%	3.00%	3.00%	3.00%	3.00%	3.00%
56	3.00%	3.00%	3.00%	3.00%	3.00%	3.00%
57	3.00%	3.00%	3.00%	3.00%	3.00%	3.00%
58	3.00%	3.00%	3.00%	3.00%	3.00%	3.00%
59	3.00%	3.00%	3.00%	3.00%	3.00%	3.00%
60	3.00%	3.00%	3.00%	3.00%	3.00%	3.00%
61	3.00%	3.00%	3.00%	3.00%	3.00%	3.00%
62	3.00%	3.00%	3.00%	3.00%	3.00%	3.00%
63	3.00%	3.00%	3.00%	3.00%	3.00%	3.00%
64	3.00%	3.00%	3.00%	3.00%	3.00%	3.00%
65	25.00%	25.00%	25.00%	25.00%	25.00%	25.00%
66	25.00%	25.00%	25.00%	25.00%	25.00%	25.00%
67	25.00%	25.00%	25.00%	25.00%	25.00%	25.00%
68	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%
69	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%
70+	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Table 2—Page 3 of 3

Retirement Rates – Kennecott Active Participants

Age	Years of Service
	30+
50	3.00%
51	3.00%
52	3.00%
53	3.00%
54	3.00%
55	3.00%
56	3.00%
57	3.00%
58	3.00%
59	3.00%
60	25.00%
61	25.00%
62	25.00%
63	25.00%
64	25.00%
65	25.00%
66	25.00%
67	25.00%
68	50.00%
69	50.00%
70+	100.00%

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Table 3

Retirement Rates – Borax Active Participants

<u>Age</u>	<u>Rate</u>
55	2.00%
56	2.00%
57	5.00%
58	5.00%
59	10.00%
60	10.00%
61	10.00%
62	40.00%
63	25.00%
64	10.00%
65	50.00%
66	50.00%
67	50.00%
68	50.00%
69	50.00%
70+	100.00%

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Table 4

Retirement Rates—Terminated Vested Participants (RTA)

<u>Age</u>	<u>Rate</u>
55	10.00%
56	5.00%
57	5.00%
58	5.00%
59	5.00%
60	10.00%
61	10.00%
62	25.00%
63	15.00%
64	15.00%
65	100.00%
66	100.00%
67	100.00%
68	100.00%
69	100.00%
70+	100.00%

Retirement Rates—Terminated Vested Participants (Alcan)

<u>Age</u>	<u>Rate</u>
55	10.00%
56	5.00%
57	5.00%
58	5.00%
59	5.00%
60	10.00%
61	10.00%
62	15.00%
63	20.00%
64	15.00%
65+	100.00%

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Table 5

Withdrawal Rates – RTA and Alcan

Age	Rate	Age	Rate
18	0.00%	48	4.20%
19	15.00%	49	3.60%
20	15.00%	50	3.00%
21	15.00%	51	3.00%
22	15.00%	52	3.00%
23	15.00%	53	3.00%
24	15.00%	54	3.00%
25	15.00%	55+	3.00%
26	14.40%		
27	13.80%		
28	13.20%		
29	12.60%		
30	12.00%		
31	11.60%		
32	11.20%		
33	10.80%		
34	10.40%		
35	10.00%		
36	9.60%		
37	9.20%		
38	8.80%		
39	8.40%		
40	8.00%		
41	7.60%		
42	7.20%		
43	6.80%		
44	6.40%		
45	6.00%		
46	5.40%		
47	4.80%		

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Table 6

Withdrawal Rates – Kennecott

Age	Male	Female	Age	Male	Female
19	12.30%	17.20%	49	1.50%	0.36%
20	11.60%	16.30%	50	1.50%	0.30%
21	10.90%	15.40%	51	1.50%	0.26%
22	10.20%	14.50%	52	1.50%	0.22%
23	9.50%	13.60%	53	1.50%	0.18%
24	8.80%	12.70%	54	1.50%	0.14%
25	8.10%	11.80%	55	1.50%	0.10%
26	7.40%	10.90%	56	1.50%	0.06%
27	6.70%	10.00%	57	1.50%	0.02%
28	6.00%	9.10%	58	1.50%	0.00%
29	5.30%	8.20%	59	1.50%	0.00%
30	4.60%	7.30%	60	1.50%	0.00%
31	4.18%	6.60%	61	1.50%	0.00%
32	3.76%	5.90%	62	1.50%	0.00%
33	3.34%	5.20%	63	1.50%	0.00%
34	2.92%	4.50%	64	1.50%	0.00%
35	2.50%	3.80%	65+	0.00%	0.00%
36	2.30%	3.40%			
37	2.10%	3.00%			
38	1.90%	2.60%			
39	1.70%	2.20%			
40	1.50%	1.80%			
41	1.50%	1.56%			
42	1.50%	1.32%			
43	1.50%	1.08%			
44	1.50%	0.84%			
45	1.50%	0.60%			
46	1.50%	0.54%			
47	1.50%	0.48%			
48	1.50%	0.42%			

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Table 7—Page 1 of 4

Withdrawal Rates – Borax—Male

Age	Years of Service					
	0	1	2	3	4	5+
18	11.00%	10.00%	9.00%	8.00%	7.00%	7.00%
19	11.00%	10.00%	9.00%	8.00%	7.00%	7.00%
20	11.00%	10.00%	9.00%	8.00%	7.00%	7.00%
21	11.00%	10.00%	9.00%	8.00%	7.00%	7.00%
22	11.00%	10.00%	9.00%	8.00%	7.00%	7.00%
23	11.00%	10.00%	9.00%	8.00%	7.00%	7.00%
24	11.00%	10.00%	9.00%	8.00%	7.00%	7.00%
25	11.00%	10.00%	9.00%	8.00%	7.00%	7.00%
26	11.00%	10.00%	9.00%	8.00%	7.00%	7.00%
27	11.00%	10.00%	9.00%	8.00%	7.00%	7.00%
28	11.00%	10.00%	9.00%	8.00%	7.00%	6.74%
29	11.00%	10.00%	9.00%	8.00%	7.00%	6.27%
30	11.00%	10.00%	9.00%	8.00%	7.00%	5.80%
31	11.00%	10.00%	9.00%	8.00%	7.00%	5.49%
32	11.00%	10.00%	9.00%	8.00%	7.00%	5.18%
33	11.00%	10.00%	9.00%	8.00%	7.00%	4.87%
34	11.00%	10.00%	9.00%	8.00%	7.00%	4.56%
35	11.00%	10.00%	9.00%	8.00%	7.00%	4.25%
36	11.00%	10.00%	9.00%	8.00%	7.00%	3.94%
37	11.00%	10.00%	9.00%	8.00%	7.00%	3.63%
38	11.00%	10.00%	9.00%	8.00%	7.00%	3.32%
39	11.00%	10.00%	9.00%	8.00%	7.00%	3.01%
40	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
41	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
42	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
43	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
44	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Table 7—Page 2 of 4

Withdrawal Rates – Borax—Male

Age	Years of Service					
	0	1	2	3	4	5+
45	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
46	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
47	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
48	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
49	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
50	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
51	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
52	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
53	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
54	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
55	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
56	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
57	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
58	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
59	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
60+	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Table 7—Page 3 of 4

Withdrawal Rates – Borax—Female

Age	Years of Service					
	0	1	2	3	4	5+
18	14.00%	13.00%	12.00%	11.00%	10.00%	8.15%
19	14.00%	13.00%	12.00%	11.00%	10.00%	8.15%
20	14.00%	13.00%	12.00%	11.00%	10.00%	8.15%
21	14.00%	13.00%	12.00%	11.00%	10.00%	8.15%
22	14.00%	13.00%	12.00%	11.00%	10.00%	8.15%
23	14.00%	13.00%	12.00%	11.00%	10.00%	8.15%
24	14.00%	13.00%	12.00%	11.00%	10.00%	8.15%
25	14.00%	13.00%	12.00%	11.00%	10.00%	8.15%
26	14.00%	13.00%	12.00%	11.00%	10.00%	7.68%
27	14.00%	13.00%	12.00%	11.00%	10.00%	7.21%
28	14.00%	13.00%	12.00%	11.00%	10.00%	6.74%
29	14.00%	13.00%	12.00%	11.00%	10.00%	6.27%
30	14.00%	13.00%	12.00%	11.00%	10.00%	5.80%
31	14.00%	13.00%	12.00%	11.00%	10.00%	5.49%
32	14.00%	13.00%	12.00%	11.00%	10.00%	5.18%
33	14.00%	13.00%	12.00%	11.00%	10.00%	4.87%
34	14.00%	13.00%	12.00%	11.00%	10.00%	4.56%
35	14.00%	13.00%	12.00%	11.00%	10.00%	4.25%
36	14.00%	13.00%	12.00%	11.00%	10.00%	3.94%
37	14.00%	13.00%	12.00%	11.00%	10.00%	3.63%
38	14.00%	13.00%	12.00%	11.00%	10.00%	3.32%
39	14.00%	13.00%	12.00%	11.00%	10.00%	3.01%
40	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
41	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
42	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
43	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
44	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Table 7—Page 4 of 4

Withdrawal Rates – Borax—Female

Age	Years of Service					
	0	1	2	3	4	5+
45	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
46	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
47	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
48	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
49	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
50	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
51	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
52	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
53	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
54	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
55	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
56	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
57	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
58	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
59	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
60+	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Table 8

Disability Rates – Kennecott

Age	Male	Female	Age	Male	Female
15	0.015%	0.015%	45	0.080%	0.120%
16	0.015%	0.015%	46	0.090%	0.135%
17	0.015%	0.015%	47	0.105%	0.150%
18	0.015%	0.015%	48	0.125%	0.165%
19	0.015%	0.015%	49	0.140%	0.180%
20	0.015%	0.015%	50	0.165%	0.200%
21	0.015%	0.015%	51	0.195%	0.220%
22	0.015%	0.015%	52	0.230%	0.245%
23	0.015%	0.015%	53	0.265%	0.270%
24	0.015%	0.015%	54	0.305%	0.295%
25	0.015%	0.015%	55	0.345%	0.320%
26	0.015%	0.015%	56	0.385%	0.345%
27	0.015%	0.015%	57	0.430%	0.370%
28	0.015%	0.020%	58	0.475%	0.400%
29	0.015%	0.020%	59	0.525%	0.425%
30	0.015%	0.020%	60	0.575%	0.450%
31	0.015%	0.025%	61	0.630%	0.480%
32	0.015%	0.025%	62	0.690%	0.505%
33	0.015%	0.030%	63	0.755%	0.525%
34	0.015%	0.030%	64	0.820%	0.545%
35	0.020%	0.035%	65+	0.000%	0.000%
36	0.020%	0.040%			
37	0.025%	0.045%			
38	0.030%	0.050%			
39	0.035%	0.060%			
40	0.040%	0.065%			
41	0.045%	0.075%			
42	0.050%	0.085%			
43	0.060%	0.095%			
44	0.070%	0.110%			

Rio Tinto America Inc. Retirement Plan

Schedule H - Line 4j, Schedule of Reportable Transactions - For the Year Ended December 31, 2021

EIN: 11-3359689
Plan Number: 001

(a)/(b)	(c)	(d)	(g)	(h)	(i)	
Identity of Party Involved/ Description of Asset	# of Transactions	Purchase Price	Selling Price	Cost of Asset	Current Value of Asset on Transaction Date	Net Gain (Loss)
<u>Single transactions in excess of 5% of Plan Assets</u>						
US TREASURY N/B 05/51 2.375	1	\$ 54,087,478	\$ -	\$ 54,087,478	\$ 54,087,478	\$ -
US TREASURY N/B 05/51 2.375	1	-	54,093,750	55,388,858	54,093,750	(1,295,108)
US TREASURY N/B 05/51 2.375	1	54,415,444	-	54,415,444	54,415,444	-
US TREASURY N/B 05/51 2.375	1	-	54,437,500	54,165,320	54,437,500	272,180
US TREASURY N/B 05/51 2.375	1	55,956,155	-	55,956,155	55,956,155	-
US TREASURY N/B 05/51 2.375	1	-	55,968,750	54,398,920	55,968,750	1,569,830
US TREASURY N/B 05/51 2.375	1	55,649,983	-	55,649,983	55,649,983	-
US TREASURY N/B 05/51 2.375	1	-	55,656,250	55,656,658	55,656,250	(408)
US TREASURY N/B 05/51 2.375	1	54,737,521	-	54,737,521	54,737,521	-
US TREASURY N/B 05/51 2.375	1	-	54,750,000	55,649,983	54,750,000	(899,983)
US TREASURY N/B 05/51 2.375	1	55,259,388	-	55,259,388	55,259,388	-
US TREASURY N/B 05/51 2.375	1	-	55,265,625	54,737,521	55,265,625	528,104
US TREASURY N/B 05/51 2.375	1	55,012,506	-	55,012,506	55,012,506	-
US TREASURY N/B 05/51 2.375	1	-	55,015,625	55,259,388	55,015,625	(243,763)
US TREASURY N/B 05/51 2.375	1	55,371,882	-	55,371,882	55,371,882	-
US TREASURY N/B 05/51 2.375	1	-	55,375,000	55,190,021	55,375,000	184,979
US TREASURY N/B 05/51 2.375	1	55,399,938	-	55,399,938	55,399,938	-
US TREASURY N/B 05/51 2.375	1	-	55,421,875	55,190,021	55,421,875	231,854
US TREASURY N/B 05/51 2.375	1	55,290,562	-	55,290,562	55,290,562	-
US TREASURY N/B 05/51 2.375	1	-	55,312,500	55,399,938	55,312,500	(87,438)
US TREASURY N/B 05/51 2.375	1	55,461,836	-	55,461,836	55,461,836	-
US TREASURY N/B 05/51 2.375	1	-	55,718,750	55,369,148	55,718,750	349,602
US TREASURY N/B 05/51 2.375	1	56,359,147	-	56,359,147	56,359,147	-
US TREASURY N/B 05/51 2.375	1	55,594,724	-	55,594,724	55,594,724	-
US TREASURY N/B 05/51 2.375	1	-	56,375,000	55,454,053	56,375,000	920,947
US TREASURY N/B 05/51 2.375	1	-	55,812,500	56,359,147	55,812,500	(546,647)
US TREASURY N/B 05/51 2.375	1	55,843,750	-	55,843,750	55,843,750	-
US TREASURY N/B 05/51 2.375	1	-	55,840,516	55,719,237	55,840,516	121,279
US TREASURY N/B 05/51 2.375	1	55,703,125	-	55,703,125	55,703,125	-
US TREASURY N/B 05/51 2.375	1	-	55,693,377	55,711,181	55,693,377	(17,804)

Continued.

Rio Tinto America Inc. Retirement Plan

Schedule H - Line 4j, Schedule of Reportable Transactions - For the Year Ended December 31, 2021

EIN: 11-3359689
Plan Number: 001

(a)/(b)		(c)	(d)	(g)	(h)	(i)
Identity of Party Involved/ Description of Asset	# of Transactions	Purchase Price	Selling Price	Cost of Asset	Current Value of Asset on Transaction Date	Net Gain (Loss)
<i>Series of transactions in excess of 5% of Plan Assets</i>						
UBS Domestic MSF CashCollateral	33	\$ 28,020,000	\$ -	\$ 28,020,000	\$ 28,020,000	\$ -
UBS Domestic MSF CashCollateral	34	-	28,020,000	28,020,000	28,020,000	-
State Street Bank + Trust Company Short Term						
* Investment Fund	238	221,603,319	-	221,603,319	221,603,319	-
State Street Bank + Trust Company Short Term						
* Investment Fund	192	-	219,553,286	219,553,286	219,553,286	-
US Treasury Repo	5	45,500,000	-	45,500,000	45,500,000	-
US Treasury Repo	5	-	45,500,000	45,500,000	45,500,000	-
FNMA TBA 30 YR 3 SINGLE FAMILY MORTGAGE	3	24,949,906	-	24,949,906	24,949,906	-
FNMA TBA 30 YR 3 SINGLE FAMILY MORTGAGE	2	-	24,529,781	24,537,094	24,529,781	(7,313)
FNMA TBA 30 YR 3.5 SINGLE FAMILY MORTGAGE	4	33,538,502	-	33,538,502	33,538,502	-
FNMA TBA 30 YR 3.5 SINGLE FAMILY MORTGAGE	7	-	60,726,794	60,668,213	60,726,794	58,581
FNMA TBA 30 YR 3.5 SINGLE FAMILY MORTGAGE	3	57,936,285	-	57,936,285	57,936,285	-
FNMA TBA 30 YR 3.5 SINGLE FAMILY MORTGAGE	2	-	51,638,170	51,674,314	51,638,170	(36,144)
FNMA TBA 30 YR 3.5 SINGLE FAMILY MORTGAGE	2	51,557,320	-	51,557,320	51,557,320	-
FNMA TBA 30 YR 3.5 SINGLE FAMILY MORTGAGE	2	-	51,519,273	51,557,320	51,519,273	(38,047)
FNMA TBA 30 YR 3.5 SINGLE FAMILY MORTGAGE	2	51,747,555	-	51,747,555	51,747,555	-
FNMA TBA 30 YR 3.5 SINGLE FAMILY MORTGAGE	2	-	51,753,262	51,747,555	51,753,262	5,707
FNMA TBA 30 YR 3.5 SINGLE FAMILY MORTGAGE	10	44,712,376	-	44,712,376	44,712,376	-
FNMA TBA 30 YR 3.5 SINGLE FAMILY MORTGAGE	10	-	44,608,946	44,712,376	44,608,946	(103,430)

Continued.

Rio Tinto America Inc. Retirement Plan

Schedule H - Line 4j, Schedule of Reportable Transactions - For the Year Ended December 31, 2021

EIN: 11-3359689

Plan Number: 001

(a)/(b)	(c)	(d)	(g)	(h)	(i)	
Identity of Party Involved/ Description of Asset	# of Transactions	Purchase Price	Selling Price	Cost of Asset	Current Value of Asset on Transaction Date	Net Gain (Loss)
FNMA TBA 30 YR 3.5 SINGLE FAMILY MORTGAGE	4	26,174,448	-	26,174,448	26,174,448	-
FNMA TBA 30 YR 3.5 SINGLE FAMILY MORTGAGE	4	-	26,175,113	26,172,768	26,175,113	2,345
US TREASURY N/B 11/49 2.375	53	386,344,079	-	386,344,079	386,344,079	-
US TREASURY N/B 11/49 2.375	54	-	421,876,330	437,949,721	421,876,330	(16,073,391)
US TREASURY N/B 08/50 1.375	57	1,282,468,611	-	1,282,468,611	1,282,468,611	-
US TREASURY N/B 08/50 1.375	61	-	1,302,939,128	1,308,822,954	1,302,939,128	(5,883,826)
US TREASURY N/B 11/50 1.375	58	145,094,933	-	145,094,933	145,094,933	-
US TREASURY N/B 11/50 1.375	6	-	149,804,560	149,758,226	149,804,560	46,334
US TREASURY N/B 11/40 1.375	18	117,530,823	-	117,530,823	117,530,823	-
US TREASURY N/B 11/40 1.375	18	-	117,672,038	120,209,824	117,672,038	(2,537,786)
US TREASURY N/B 05/51 2.375	46	1,264,044,722	-	1,264,044,722	1,264,044,722	-
US TREASURY N/B 05/51 2.375	50	-	1,204,785,248	1,203,227,054	1,204,785,248	1,558,194
US TREASURY N/B 08/51 2	30	240,147,585	-	240,147,585	240,147,585	-
US TREASURY N/B 08/51 2	30	-	231,071,383	231,076,432	231,071,383	(5,049)
US TREASURY N/B 11/51 1.875	16	136,819,424	-	136,819,424	136,819,424	-
US TREASURY N/B 11/51 1.875	12	-	124,927,125	124,606,716	124,927,125	320,409
US TREASURY N/B 08/30 0.625	84	236,913,010	-	236,913,010	236,913,010	-
US TREASURY N/B 08/30 0.625	85	-	239,908,407	240,120,367	239,908,407	(211,960)
US TREASURY N/B 11/30 0.875	124	1,150,284,611	-	1,150,284,611	1,150,284,611	-
US TREASURY N/B 11/30 0.875	125	-	1,161,031,929	1,161,508,739	1,161,031,929	(476,810)
US TREASURY N/B 02/31 1.125	78	932,861,728	-	932,861,728	932,861,728	-
US TREASURY N/B 02/31 1.125	78	-	928,002,897	927,788,658	928,002,897	214,239
US TREASURY N/B 11/31 1.375	17	87,871,267	-	87,871,267	87,871,267	-
US TREASURY N/B 11/31 1.375	14	-	79,712,686	79,649,875	79,712,686	62,811
Interest Rate Swap	3	41,326,870	-	41,326,870	41,326,870	-
Interest Rate Swap	3	-	43,461,421	41,326,870	43,461,421	2,134,551
Interest Rate Swap	3	43,780,389	-	43,780,389	43,780,389	-
Interest Rate Swap	3	-	41,335,083	43,780,389	41,335,083	(2,445,306)
PIMCO FDS SHORT TERM FLTG NAV MUTUAL FUND	32	27,100,249	-	27,100,249	27,100,249	-
PIMCO FDS SHORT TERM FLTG NAV MUTUAL FUND	17	-	28,300,000	28,300,204	28,300,000	(204)

*Represents a party-in-interest as defined by ERISA.

There were no category (ii) or (iv) reportable transactions during 2021.

SCHEDULE SB (Form 5500) <small>Department of the Treasury Internal Revenue Service</small> <small>Department of Labor Employee Benefits Security Administration</small> <small>Pension Benefit Guaranty Corporation</small>	Single-Employer Defined Benefit Plan Actuarial Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6059 of the Internal Revenue Code (the Code). ► File as an attachment to Form 5500 or 5500-SF.	<small>OMB No. 1210-0110</small> 2021 This Form is Open to Public Inspection
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For calendar plan year 2021 or fiscal plan year beginning	01/01/2021	and ending		12/31/2021
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► **Round off amounts to nearest dollar.**

► **Caution:** A penalty of \$1,000 will be assessed for late filing of this report unless reasonable cause is established.

A Name of plan Rio Tinto America Inc. Retirement Plan	B Three-digit plan number (PN) ►	001
C Plan sponsor's name as shown on line 2a of Form 5500 or 5500-SF Rio Tinto America Inc.	D Employer Identification Number (EIN) 11-3359689	
E Type of plan: ☒ Single ☐ Multiple-A ☐ Multiple-B		
F Prior year plan size: ☐ 100 or fewer ☐ 101-500 ☒ More than 500		

Part I Basic Information				
1	Enter the valuation date: Month <u>01</u> Day <u>01</u> Year <u>2021</u>			
2	Assets:			
	a Market value	2a		988,007,949
	b Actuarial value	2b		889,207,155
3	Funding target/participant count breakdown	(1) Number of participants	(2) Vested Funding Target	(3) Total Funding Target
	a For retired participants and beneficiaries receiving payment.....	3,237	363,762,866	363,762,866
	b For terminated vested participants.....	2,891	146,649,863	146,649,863
	c For active participants	1,876	146,750,648	159,597,667
	d Total.....	8,004	657,163,377	670,010,396
4	If the plan is in at-risk status, check the box and complete lines (a) and (b)..... ☐			
	a Funding target disregarding prescribed at-risk assumptions	4a		
	b Funding target reflecting at-risk assumptions, but disregarding transition rule for plans that have been in at-risk status for fewer than five consecutive years and disregarding loading factor	4b		
5	Effective interest rate	5	5.62%	
6	Target normal cost.....			
	a Present value of current plan year accruals.....	6a	7,407,200	
	b Expected plan-related expenses	6b	3,827,495	
	c Total (line 6a + line 6b)	6c	11,234,695	

Statement by Enrolled Actuary

To the best of my knowledge, the information supplied in this schedule and accompanying schedules, statements and attachments, if any, is complete and accurate. Each prescribed assumption was applied in accordance with applicable law and regulations. In my opinion, each other assumption is reasonable (taking into account the experience of the plan and reasonable expectations) and such other assumptions, in combination, offer my best estimate of anticipated experience under the plan.

SIGN HERE	<div style="border-bottom: 1px solid black; margin-bottom: 5px;"> <div style="display: flex; justify-content: space-between;"> <div style="width: 150px;">Troy Ware</div> <div style="width: 150px; text-align: center;"> </div> <div style="width: 150px; text-align: right;">08/25/2022</div> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div></div> <div style="text-align: center;">Signature of actuary</div> <div style="text-align: right;">Date</div> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div></div> <div style="text-align: center;">Type or print name of actuary</div> <div style="text-align: right;">2007419</div> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div></div> <div style="text-align: center;">Firm name</div> <div style="text-align: right;">Most recent enrollment number</div> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div></div> <div style="text-align: center;">Address of the firm</div> <div style="text-align: right;">303-639-4157</div> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div></div> <div></div> <div style="text-align: right;">Telephone number (including area code)</div> </div> </div>
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Part II Beginning of Year Carryover and Prefunding Balances

	(a) Carryover balance	(b) Prefunding balance
7 Balance at beginning of prior year after applicable adjustments (line 13 from prior year)	0	239,305,628
8 Portion elected for use to offset prior year's funding requirement (line 35 from prior year)	0	29,970,522
9 Amount remaining (line 7 minus line 8)	0	209,335,106
10 Interest on line 9 using prior year's actual return of <u>17.12%</u>	0	35,838,170
11 Prior year's excess contributions to be added to prefunding balance:		
a Present value of excess contributions (line 38a from prior year)		0
b(1) Interest on the excess, if any, of line 38a over line 38b from prior year Schedule SB, using prior year's effective interest rate of <u>5.33%</u>		0
b(2) Interest on line 38b from prior year Schedule SB, using prior year's actual return		0
c Total available at beginning of current plan year to add to prefunding balance		0
d Portion of (c) to be added to prefunding balance		0
12 Other reductions in balances due to elections or deemed elections	0	0
13 Balance at beginning of current year (line 9 + line 10 + line 11d – line 12)	0	245,173,276

Part III	Funding Percentages
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14	Funding target attainment percentage.....	14	96.12%
15	Adjusted funding target attainment percentage	15	118.84%
16	Prior year's funding percentage for purposes of determining whether carryover/prefunding balances may be used to reduce current year's funding requirement.....	16	89.68%
17	If the current value of the assets of the plan is less than 70 percent of the funding target, enter such percentage.....	17	%

Part IV	Contributions and Liquidity Shortfalls
----------------	---

18 Contributions made to the plan for the plan year by employer(s) and employees:

(a) Date (MM-DD-YYYY)	(b) Amount paid by employer(s)	(c) Amount paid by employees	(a) Date (MM-DD-YYYY)	(b) Amount paid by employer(s)	(c) Amount paid by employees
			Totals ►	18(b)	0 18(c)

19 Discounted employer contributions – see instructions for small plan with a valuation date after the beginning of the year:

a Contributions allocated toward unpaid minimum required contributions from prior years	19a	0
b Contributions made to avoid restrictions adjusted to valuation date	19b	0
c Contributions allocated toward minimum required contribution for current year adjusted to valuation date	19c	0

20 Quarterly contributions and liquidity shortfalls:

a Did the plan have a "funding shortfall" for the prior year? ☒ Yes ☐ No

b If line 20a is "Yes," were required quarterly installments for the current year made in a timely manner?..... ☒ Yes ☐ No

C If line 20a is "Yes," see instructions and complete the following table as applicable:

Liquidity shortfall as of end of quarter of this plan year

(1) 1st	(2) 2nd	(3) 3rd	(4) 4th
0	0	0	0

Part V Assumptions Used to Determine Funding Target and Target Normal Cost

21 Discount rate:				
a Segment rates:	1st segment: 4.75 %	2nd segment: 5.36 %	3rd segment: 6.11 %	☐ N/A, full yield curve used
b Applicable month (enter code)				21b 4
22 Weighted average retirement age				22 63
23 Mortality table(s) (see instructions) ☐ Prescribed - combined ☒ Prescribed - separate ☐ Substitute				

Part VI Miscellaneous Items

24 Has a change been made in the non-prescribed actuarial assumptions for the current plan year? If "Yes," see instructions regarding required attachment.....	☒ Yes ☐ No
25 Has a method change been made for the current plan year? If "Yes," see instructions regarding required attachment.....	☐ Yes ☒ No
26 Is the plan required to provide a Schedule of Active Participants? If "Yes," see instructions regarding required attachment.....	☒ Yes ☐ No
27 If the plan is subject to alternative funding rules, enter applicable code and see instructions regarding attachment.....	27

Part VII Reconciliation of Unpaid Minimum Required Contributions For Prior Years

28 Unpaid minimum required contributions for all prior years	28	0
29 Discounted employer contributions allocated toward unpaid minimum required contributions from prior years (line 19a).....	29	0
30 Remaining amount of unpaid minimum required contributions (line 28 minus line 29)	30	0

Part VIII Minimum Required Contribution For Current Year

31 Target normal cost and excess assets (see instructions):			
a Target normal cost (line 6c)	31a	11,234,695	
b Excess assets, if applicable, but not greater than line 31a	31b	0	
32 Amortization installments:			
a Net shortfall amortization installment	Outstanding Balance	Installment	
b Waiver amortization installment	25,976,517	2,422,092	
	0	0	
33 If a waiver has been approved for this plan year, enter the date of the ruling letter granting the approval (Month _____ Day _____ Year _____) and the waived amount	33		
34 Total funding requirement before reflecting carryover/prefunding balances (lines 31a - 31b + 32a + 32b - 33)....	34	13,656,787	
	Carryover balance	Prefunding balance	Total balance
35 Balances elected for use to offset funding requirement	0	14,786,256	14,786,256
36 Additional cash requirement (line 34 minus line 35)	36	0	
37 Contributions allocated toward minimum required contribution for current year adjusted to valuation date (line 19c)	37	0	
38 Present value of excess contributions for current year (see instructions)			
a Total (excess, if any, of line 37 over line 36)	38a	0	
b Portion included in line 38a attributable to use of prefunding and funding standard carryover balances	38b	0	
39 Unpaid minimum required contribution for current year (excess, if any, of line 36 over line 37)	39	0	
40 Unpaid minimum required contributions for all years	40	0	

Part IX Pension Funding Relief Under Pension Relief Act of 2010 (See Instructions)

41 If an election was made to use PRA 2010 funding relief for this plan:	
a Schedule elected	☐ 2 plus 7 years ☐ 15 years
b Eligible plan year(s) for which the election in line 41a was made	☐ 2008 ☐ 2009 ☐ 2010 ☐ 2011

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Schedule SB, line 7—Explanation of Discrepancy in Prior Year Funding Standard
Carryover Balance or Prefunding Balance

The January 1, 2021 funding valuation reflects the merger of the U.S. Borax Inc. Retirement Plan for Represented Employees and the Kennecott Utah Copper Pension Plan for Represented Hourly Employees into the Rio Tinto America Inc. Retirement Plan as of December 31, 2020.

As a result, the balances shown on line 7 reflect the sum of the balances of the previous plans:

	Carryover Balance	Prefunding Balance
U.S. Borax Inc. Retirement Plan for Represented Employees (EIN: 98-0047580, PN: 002)	\$0	\$27,902,995
Kennecott Utah Copper Pension Plan for Represented Hourly Employees (EIN: 13-3108078, PN: 202)	0	41,878,054
Rio Tinto America Inc. Retirement Plan (EIN: 11-3359689, PN: 001)	0	169,524,579
Total	\$0	\$239,305,628

The amounts shown on lines 8-13 reflect the sum of the amounts for each of the plans that were merged on 12/31/2020. The interest rate shown on lines 10 and 11(b) is the interest rate for the Rio Tinto America Inc. Retirement Plan (EIN: 11-3359689, PN: 001). The interest rates for the U.S. Borax Inc. Retirement Plan for Represented Employees (EIN: 98-0047580, PN: 002) and the Kennecott Utah Copper Pension Plan for Represented Hourly Employees (EIN: 13-3108078, PN: 202) are different. As such, the interest amounts on lines 10 and 11 are the sum of the interest amounts for all plans.

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Schedule SB, line 22—Description of Weighted Average Retirement Age

Weighted Average Retirement Age:

Legacy Plan	Number of Participants Exposed	Weighted Average Retirement Age
RTA and Alcan	263	62.28
Borax	310	62.51
Kennecott	1,303	63.81
Total	1,876	63.38

Below are the descriptions for the individual weighted average retirement ages for each of the legacy plans.

Legacy Rio Tinto America and Rio Tinto Alcan (U.S.) plans

The average retirement age has been calculated by assuming the following retirement rates and no decrements other than retirement for this calculation. All retirements are assumed to occur at mid-year, except for the 100% retirement age.

(a) Age	(b) Rate	(c) Weight	(d) Product (a) × (b) × (c)
55.5	10.00%	1.0000	5.55
56.5	5.00%	0.9000	2.54
57.5	5.00%	0.8550	2.46
58.5	5.00%	0.8123	2.38
59.5	5.00%	0.7716	2.30
60.5	10.00%	0.7331	4.43
61.5	10.00%	0.6598	4.06
62.5	25.00%	0.5938	9.28
63.5	15.00%	0.4453	4.24
64.5	15.00%	0.3785	3.66
65.5	50.00%	0.3218	10.54
66.5	50.00%	0.1609	5.35
67.5	50.00%	0.0804	2.71
68.5	50.00%	0.0402	1.38
69.5	50.00%	0.0201	0.70
70	100.00%	0.0101	0.70
Weighted Average			62.28

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Legacy Borax Hourly plan

The average retirement age has been calculated by assuming the following retirement rates and no decrements other than retirement for this calculation. All retirements are assumed to occur at mid-year, except for the 100% retirement age.

(a) Age	(b) Rate	(c) Weight	(d) Product (a) × (b) × (c)
55.5	2.00%	1.0000	1.11
56.5	2.00%	0.9800	1.11
57.5	5.00%	0.9604	2.76
58.5	5.00%	0.9124	2.67
59.5	10.00%	0.8668	5.16
60.5	10.00%	0.7801	4.72
61.5	10.00%	0.7021	4.32
62.5	40.00%	0.6319	15.80
63.5	25.00%	0.3791	6.02
64.5	10.00%	0.2843	1.83
65.5	50.00%	0.2559	8.38
66.5	50.00%	0.1280	4.25
67.5	50.00%	0.0640	2.16
68.5	50.00%	0.0320	1.10
69.5	50.00%	0.0160	0.56
70	100.00%	0.0080	0.56
Weighted Average			62.51

Legacy Kennecott Utah Copper Hourly plan

The retirement decrement rates at each age depend on age and service. The rates that apply at each age are summarized below:

Retirement rates are 3% at the earliest retirement eligible age (Age + Service = 70, or Service = 30), 25% at ages 65-67 (ages 60-67 for those with at least 30 years of service), 50% at ages 68-69, and 100% at age 70, resulting in a weighted average retirement age of 63.81.

In calculating the weighted average retirement age, the weight applied to each age is (a)/(b), where (a) and (b) are defined as follows:

- (a) The number of participants expected to retire at the retirement age to which the weight is being applied. The number of participants expected to retire is estimated by applying the assumed retirement decrement rates to the current active population at that age.
- (b) The total number of participants expected to retire. The number of participants expected to retire is estimated by applying the assumed retirement decrement rates to the current active population.

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Schedule SB, Part V—Statement of Actuarial Assumptions/Methods

Interest Rates for Minimum Funding Purposes	Based on segment rates with a four-month lookback (as of September 2020), each adjusted as needed to fall within the 25-year average interest rate stabilization corridor
1st Segment Rate	4.75%
2nd Segment Rate	5.36%
3rd Segment Rate	6.11%
Interest Rates for Maximum Tax Purposes	Based on segment rates with a four-month lookback (as of September 2020), without regard to interest rate stabilization
1st Segment Rate	2.22%
2nd Segment Rate	3.38%
3rd Segment Rate	3.92%
Salary Increases	3.60%
Cash Balance Interest Crediting Rate	5.00%
Cash Balance Annuity Conversion Rate	Same as funding interest rates above
Social Security Wage Base Increases	Future wage indices are based on a national wage increase of 2.60% per year, based on an inflation assumption of 2.10% plus 0.50% per year.

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
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Optional Payment Form Election Percentage for the Legacy-RTA and Legacy-Alcan Plans	30% life annuity
Non-Cash Balance RTA Active Participants	30% joint and 50% life annuity
	30% joint and 100% life annuity
	10% 10 year certain and life annuity
Non-Cash Balance RTA Terminated Vested Participants	30% life annuity
	30% joint and 50% life annuity
	30% joint and 100% life annuity
	10% 10 year certain and life annuity
Cash Balance Active Participants	100% lump sum immediately for participants that retire from active service
	100% lump sum at assumed average terminated vested retirement age (see Table 4) for participants that terminate prior to retirement eligibility
Cash Balance Terminated Vested Participants	100% lump sum at assumed terminated vested retirement age (see Table 4)
Active and Vested Legacy ACP Participants	20% 5-year certain and life annuity
	50% joint and 50% survivor annuity
	30% joint and 100% survivor annuity
Active PPPI and All Other Vested Participants	50% single life annuity
	25% joint and 50% survivor annuity
	25% joint and 100% survivor annuity
RTA and Alcan Optional Payment Form Conversion Interest Rate and Mortality	
Lump Sums	Same as funding interest rates above
All Other Optional Forms	6.00%
RTA and Alcan Optional Payment Form Conversion Mortality	
Lump Sums	Current IRC section 417(e) table for lump sums
All Other Optional Forms	2021 417(e) mortality table

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Optional Payment Form Election Percentage for
the Legacy-Borax Plan

Active Participants

35% life annuity
35% joint and 50% survivor annuity
10% joint and 66 2/3% survivor annuity
20% joint and 100% survivor annuity

Terminated Vested Participants

65% life annuity
20% joint and 50% survivor annuity
15% joint and 100% survivor annuity

Optional Payment Form Conversion for the
Legacy-Borax Plan

6.00% interest rate and 2021 417(e) Mortality
Table.

Optional Payment Form Election Percentage for
the Legacy-Kennecott Plan

Active Participants

30% life annuity
70% joint and 55% survivor annuity

Terminated Vested Participants

45% life annuity
30% joint and 55% survivor annuity
25% joint and 100% survivor annuity

Optional Payment Form Conversion for the
Legacy-Kennecott Plan

The joint and 55% survivor annuity monthly
benefit is equal to 90% of the monthly benefit
payable as a life annuity.

The joint and 100% survivor annuity monthly
benefit is converted using an interest rate of 6%
and the 2021 417(e) Mortality Table.

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Retirement Age

Active Participants – RTA and Alcan	See Table 1
Active Participants – Kennecott	See Table 2
Active Participants – Borax	See Table 3
Terminated Vested Participants – RTA and Alcan	See Table 4
Terminated Vested Participants – Kennecott	Age 62
Terminated Vested Participants – Borax	Age 61
Alcan LTD Participants	Age 65

Mortality Rates

Healthy and Disabled	2021 static mortality table for annuitants and non-annuitants per §1.430(h)(3)-1(e) and IRS Notice 2019-067
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Withdrawal Rates – RTA and Alcan	See Table 5
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Withdrawal Rates – Kennecott	See Table 6
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Withdrawal Rates – Borax	See Table 7
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Disability Rates – Kennecott	See Table 8
------------------------------	-------------

Decrement Timing	Middle of year decrements (except that retirement is assumed to occur at the beginning of the year for ages where the assumed retirement rate is 100%)
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Surviving Spouse Benefit	It is assumed that 75% of males and 75% of females have an eligible spouse, and that males are three years older than their spouses.
--------------------------	--

Valuation Compensation	2020 pensionable earnings rolled forward one year with the salary increase assumption.
------------------------	--

Benefit and Compensation Limits	Projected benefits and compensation are limited by the current IRC section 415 maximum benefit of \$230,000 and the IRC section 401(a)(17) compensation limit of \$290,000.
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Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Valuation of Plan Assets

Smoothed fair market value of assets over the current and prior two years, adjusted for contributions, benefit payments, administrative expenses, and expected earnings. The average value of assets calculated in this manner is further limited to not less than 90% nor more than 110% of fair market value.

A characteristic of this method is that the expected distribution of the value of plan assets is skewed toward understatement relative to the corresponding market values for expected long-term rates of return in excess of the third segment rate under IRC section 430(h)(2)(C)(iii).

Expected Return on Assets

2019 Plan Year	5.50%
2020 Plan Year	4.90%
2021 Plan Year	4.10%

Trust Expenses Included in Target Normal Cost

\$3,827,495, based on the prior year's actual plan administrative expenses (excluding PBGC premiums) plus the estimated PBGC premium for the current year.

Actuarial Method

Standard unit credit cost method

Valuation Date

January 1, 2021

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Table 1

Retirement Rates—RTA and Alcan Active Participants

<u>Age</u>	<u>Rate</u>
55	10.00%
56	5.00%
57	5.00%
58	5.00%
59	5.00%
60	10.00%
61	10.00%
62	25.00%
63	15.00%
64	15.00%
65	50.00%
66	50.00%
67	50.00%
68	50.00%
69	50.00%
70+	100.00%

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Table 2—Page 1 of 3

Retirement Rates – Kennecott Active Participants

Age	Years of Service					
	0-4	5-9	10	11	12	13
50	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
51	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
52	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
53	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
54	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
55	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
56	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
57	0.00%	0.00%	0.00%	0.00%	0.00%	3.00%
58	0.00%	0.00%	0.00%	0.00%	3.00%	3.00%
59	0.00%	0.00%	0.00%	3.00%	3.00%	3.00%
60	0.00%	0.00%	3.00%	3.00%	3.00%	3.00%
61	0.00%	0.00%	3.00%	3.00%	3.00%	3.00%
62	0.00%	0.00%	3.00%	3.00%	3.00%	3.00%
63	0.00%	0.00%	3.00%	3.00%	3.00%	3.00%
64	0.00%	0.00%	3.00%	3.00%	3.00%	3.00%
65	0.00%	25.00%	25.00%	25.00%	25.00%	25.00%
66	0.00%	25.00%	25.00%	25.00%	25.00%	25.00%
67	0.00%	25.00%	25.00%	25.00%	25.00%	25.00%
68	0.00%	50.00%	50.00%	50.00%	50.00%	50.00%
69	0.00%	50.00%	50.00%	50.00%	50.00%	50.00%
70+	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%

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Retirement Rates – Kennecott Active Participants

Age	Years of Service					
	14	15-25	26	27	28	29
50	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
51	0.00%	0.00%	0.00%	0.00%	0.00%	3.00%
52	0.00%	0.00%	0.00%	0.00%	3.00%	3.00%
53	0.00%	0.00%	0.00%	3.00%	3.00%	3.00%
54	0.00%	0.00%	3.00%	3.00%	3.00%	3.00%
55	0.00%	3.00%	3.00%	3.00%	3.00%	3.00%
56	3.00%	3.00%	3.00%	3.00%	3.00%	3.00%
57	3.00%	3.00%	3.00%	3.00%	3.00%	3.00%
58	3.00%	3.00%	3.00%	3.00%	3.00%	3.00%
59	3.00%	3.00%	3.00%	3.00%	3.00%	3.00%
60	3.00%	3.00%	3.00%	3.00%	3.00%	3.00%
61	3.00%	3.00%	3.00%	3.00%	3.00%	3.00%
62	3.00%	3.00%	3.00%	3.00%	3.00%	3.00%
63	3.00%	3.00%	3.00%	3.00%	3.00%	3.00%
64	3.00%	3.00%	3.00%	3.00%	3.00%	3.00%
65	25.00%	25.00%	25.00%	25.00%	25.00%	25.00%
66	25.00%	25.00%	25.00%	25.00%	25.00%	25.00%
67	25.00%	25.00%	25.00%	25.00%	25.00%	25.00%
68	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%
69	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%
70+	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%

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Retirement Rates – Kennecott Active Participants

Age	Years of Service
	30+
50	3.00%
51	3.00%
52	3.00%
53	3.00%
54	3.00%
55	3.00%
56	3.00%
57	3.00%
58	3.00%
59	3.00%
60	25.00%
61	25.00%
62	25.00%
63	25.00%
64	25.00%
65	25.00%
66	25.00%
67	25.00%
68	50.00%
69	50.00%
70+	100.00%

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Table 3

Retirement Rates – Borax Active Participants

<u>Age</u>	<u>Rate</u>
55	2.00%
56	2.00%
57	5.00%
58	5.00%
59	10.00%
60	10.00%
61	10.00%
62	40.00%
63	25.00%
64	10.00%
65	50.00%
66	50.00%
67	50.00%
68	50.00%
69	50.00%
70+	100.00%

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Table 4

Retirement Rates—Terminated Vested Participants (RTA)

Age	Rate
55	10.00%
56	5.00%
57	5.00%
58	5.00%
59	5.00%
60	10.00%
61	10.00%
62	25.00%
63	15.00%
64	15.00%
65	100.00%
66	100.00%
67	100.00%
68	100.00%
69	100.00%
70+	100.00%

Retirement Rates—Terminated Vested Participants (Alcan)

Age	Rate
55	10.00%
56	5.00%
57	5.00%
58	5.00%
59	5.00%
60	10.00%
61	10.00%
62	15.00%
63	20.00%
64	15.00%
65+	100.00%

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Table 5

Withdrawal Rates – RTA and Alcan

Age	Rate	Age	Rate
18	0.00%	48	4.20%
19	15.00%	49	3.60%
20	15.00%	50	3.00%
21	15.00%	51	3.00%
22	15.00%	52	3.00%
23	15.00%	53	3.00%
24	15.00%	54	3.00%
25	15.00%	55+	3.00%
26	14.40%		
27	13.80%		
28	13.20%		
29	12.60%		
30	12.00%		
31	11.60%		
32	11.20%		
33	10.80%		
34	10.40%		
35	10.00%		
36	9.60%		
37	9.20%		
38	8.80%		
39	8.40%		
40	8.00%		
41	7.60%		
42	7.20%		
43	6.80%		
44	6.40%		
45	6.00%		
46	5.40%		
47	4.80%		

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Table 6

Withdrawal Rates – Kennecott

Age	Male	Female	Age	Male	Female
19	12.30%	17.20%	49	1.50%	0.36%
20	11.60%	16.30%	50	1.50%	0.30%
21	10.90%	15.40%	51	1.50%	0.26%
22	10.20%	14.50%	52	1.50%	0.22%
23	9.50%	13.60%	53	1.50%	0.18%
24	8.80%	12.70%	54	1.50%	0.14%
25	8.10%	11.80%	55	1.50%	0.10%
26	7.40%	10.90%	56	1.50%	0.06%
27	6.70%	10.00%	57	1.50%	0.02%
28	6.00%	9.10%	58	1.50%	0.00%
29	5.30%	8.20%	59	1.50%	0.00%
30	4.60%	7.30%	60	1.50%	0.00%
31	4.18%	6.60%	61	1.50%	0.00%
32	3.76%	5.90%	62	1.50%	0.00%
33	3.34%	5.20%	63	1.50%	0.00%
34	2.92%	4.50%	64	1.50%	0.00%
35	2.50%	3.80%	65+	0.00%	0.00%
36	2.30%	3.40%			
37	2.10%	3.00%			
38	1.90%	2.60%			
39	1.70%	2.20%			
40	1.50%	1.80%			
41	1.50%	1.56%			
42	1.50%	1.32%			
43	1.50%	1.08%			
44	1.50%	0.84%			
45	1.50%	0.60%			
46	1.50%	0.54%			
47	1.50%	0.48%			
48	1.50%	0.42%			

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Withdrawal Rates – Borax—Male

Age	Years of Service					
	0	1	2	3	4	5+
18	11.00%	10.00%	9.00%	8.00%	7.00%	7.00%
19	11.00%	10.00%	9.00%	8.00%	7.00%	7.00%
20	11.00%	10.00%	9.00%	8.00%	7.00%	7.00%
21	11.00%	10.00%	9.00%	8.00%	7.00%	7.00%
22	11.00%	10.00%	9.00%	8.00%	7.00%	7.00%
23	11.00%	10.00%	9.00%	8.00%	7.00%	7.00%
24	11.00%	10.00%	9.00%	8.00%	7.00%	7.00%
25	11.00%	10.00%	9.00%	8.00%	7.00%	7.00%
26	11.00%	10.00%	9.00%	8.00%	7.00%	7.00%
27	11.00%	10.00%	9.00%	8.00%	7.00%	7.00%
28	11.00%	10.00%	9.00%	8.00%	7.00%	6.74%
29	11.00%	10.00%	9.00%	8.00%	7.00%	6.27%
30	11.00%	10.00%	9.00%	8.00%	7.00%	5.80%
31	11.00%	10.00%	9.00%	8.00%	7.00%	5.49%
32	11.00%	10.00%	9.00%	8.00%	7.00%	5.18%
33	11.00%	10.00%	9.00%	8.00%	7.00%	4.87%
34	11.00%	10.00%	9.00%	8.00%	7.00%	4.56%
35	11.00%	10.00%	9.00%	8.00%	7.00%	4.25%
36	11.00%	10.00%	9.00%	8.00%	7.00%	3.94%
37	11.00%	10.00%	9.00%	8.00%	7.00%	3.63%
38	11.00%	10.00%	9.00%	8.00%	7.00%	3.32%
39	11.00%	10.00%	9.00%	8.00%	7.00%	3.01%
40	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
41	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
42	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
43	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
44	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%

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Withdrawal Rates – Borax—Male

Age	Years of Service					
	0	1	2	3	4	5+
45	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
46	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
47	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
48	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
49	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
50	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
51	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
52	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
53	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
54	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
55	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
56	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
57	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
58	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
59	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%
60+	11.00%	10.00%	9.00%	8.00%	7.00%	3.00%

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Withdrawal Rates – Borax—Female

Age	Years of Service					
	0	1	2	3	4	5+
18	14.00%	13.00%	12.00%	11.00%	10.00%	8.15%
19	14.00%	13.00%	12.00%	11.00%	10.00%	8.15%
20	14.00%	13.00%	12.00%	11.00%	10.00%	8.15%
21	14.00%	13.00%	12.00%	11.00%	10.00%	8.15%
22	14.00%	13.00%	12.00%	11.00%	10.00%	8.15%
23	14.00%	13.00%	12.00%	11.00%	10.00%	8.15%
24	14.00%	13.00%	12.00%	11.00%	10.00%	8.15%
25	14.00%	13.00%	12.00%	11.00%	10.00%	8.15%
26	14.00%	13.00%	12.00%	11.00%	10.00%	7.68%
27	14.00%	13.00%	12.00%	11.00%	10.00%	7.21%
28	14.00%	13.00%	12.00%	11.00%	10.00%	6.74%
29	14.00%	13.00%	12.00%	11.00%	10.00%	6.27%
30	14.00%	13.00%	12.00%	11.00%	10.00%	5.80%
31	14.00%	13.00%	12.00%	11.00%	10.00%	5.49%
32	14.00%	13.00%	12.00%	11.00%	10.00%	5.18%
33	14.00%	13.00%	12.00%	11.00%	10.00%	4.87%
34	14.00%	13.00%	12.00%	11.00%	10.00%	4.56%
35	14.00%	13.00%	12.00%	11.00%	10.00%	4.25%
36	14.00%	13.00%	12.00%	11.00%	10.00%	3.94%
37	14.00%	13.00%	12.00%	11.00%	10.00%	3.63%
38	14.00%	13.00%	12.00%	11.00%	10.00%	3.32%
39	14.00%	13.00%	12.00%	11.00%	10.00%	3.01%
40	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
41	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
42	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
43	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
44	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%

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Withdrawal Rates – Borax—Female

Age	Years of Service					
	0	1	2	3	4	5+
45	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
46	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
47	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
48	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
49	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
50	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
51	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
52	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
53	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
54	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
55	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
56	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
57	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
58	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
59	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%
60+	14.00%	13.00%	12.00%	11.00%	10.00%	3.00%

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Table 8

Disability Rates – Kennecott

Age	Male	Female	Age	Male	Female
15	0.015%	0.015%	45	0.080%	0.120%
16	0.015%	0.015%	46	0.090%	0.135%
17	0.015%	0.015%	47	0.105%	0.150%
18	0.015%	0.015%	48	0.125%	0.165%
19	0.015%	0.015%	49	0.140%	0.180%
20	0.015%	0.015%	50	0.165%	0.200%
21	0.015%	0.015%	51	0.195%	0.220%
22	0.015%	0.015%	52	0.230%	0.245%
23	0.015%	0.015%	53	0.265%	0.270%
24	0.015%	0.015%	54	0.305%	0.295%
25	0.015%	0.015%	55	0.345%	0.320%
26	0.015%	0.015%	56	0.385%	0.345%
27	0.015%	0.015%	57	0.430%	0.370%
28	0.015%	0.020%	58	0.475%	0.400%
29	0.015%	0.020%	59	0.525%	0.425%
30	0.015%	0.020%	60	0.575%	0.450%
31	0.015%	0.025%	61	0.630%	0.480%
32	0.015%	0.025%	62	0.690%	0.505%
33	0.015%	0.030%	63	0.755%	0.525%
34	0.015%	0.030%	64	0.820%	0.545%
35	0.020%	0.035%	65+	0.000%	0.000%
36	0.020%	0.040%			
37	0.025%	0.045%			
38	0.030%	0.050%			
39	0.035%	0.060%			
40	0.040%	0.065%			
41	0.045%	0.075%			
42	0.050%	0.085%			
43	0.060%	0.095%			
44	0.070%	0.110%			

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Schedule SB, Part V—Summary of Plan Provisions

Plan Provisions—Legacy RTA Plan

Effective Date January 1, 2003.

Date of Participation First day of the month after completing one year of service. Participation is closed to new entrants as of April 1, 2007. Participants who were active in the RTA plan at that time were given the option to either stay in the RTA plan or transfer to the Investment Partnership Plan (IPP) as of September 30, 2007.

As of October 1, 2012, Cleveland Salaried employees that were participants in the AlcanCorp Pension Plan before 2012 began accruing in the RTA Plan. Benefits in the RTA Plan are calculated using pay and service earned after the date of transfer into the RTA Plan. However, participants receive vesting service from date of hire.

As of January 1, 2013, all remaining active PPPI, active Cable, and LTD participants in the AlcanCorp Pension Plan began accruing in the RTA Plan. Benefits in the RTA Plan are calculated using pay and service earned after the date of transfer into the RTA Plan. However, participants receive vesting service from date of hire.

As of January 1, 2015, active participants who are rehired into the IPP with a break in service of less than five years are eligible to receive pay increases to their RTA Plan benefit, even if they did not choose to transfer to the IPP in 2007.

As of November 6, 2017, all participants who were part of the annuity contract purchase that occurred on October 31, 2017 are no longer participants under the plan.

As of April 9, 2019, all participants who were part of the annuity contract purchase that occurred on April 2, 2019 are no longer participants under the plan.

As of December 31, 2019, all participants who were part of the Alcan plan were merged into the RTA plan.

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Normal Retirement

- Eligibility Age 65.
- Total Benefit (a) For service before January 1, 2003:
- See supplements.
- (b) For service after December 31, 2002:
- A monthly benefit equal to (i) plus (ii) below, multiplied by Benefit Service:
- (i) 1% of Final Average Earnings up to Social Security Covered Compensation.
- (ii) 1.667% of Final Average Earnings in excess of Social Security Covered Compensation.

Compensation Update

Former AlcanCorp Pension Plan participants also receive a compensation update on their frozen benefit from the AlcanCorp Pension Plan. The compensation update is payable from the RTA Plan. The compensation update is equal to the percentage increase of the Final Average Earnings over the participant's Highest Average Earnings used to calculate the frozen benefit payable from the AlcanCorp Pension Plan, multiplied by the frozen benefit payable from the AlcanCorp Pension Plan. The compensation update has a minimum value of \$0 and is added to the Normal Retirement Benefit accrued under the RTA Plan as described above.

Early Retirement

- Eligibility Age 55 and five years of Vesting Service.
- Total Benefit Termination before age 55 or before completing 10 years of Vesting Service.
- The accrued normal retirement benefit multiplied by the appropriate age-based factor below:

<u>Age</u>	<u>Factor</u>	<u>Age</u>	<u>Factor</u>
65	1.00	59	0.76
64	0.96	58	0.72
63	0.92	57	0.68
62	0.88	56	0.64
61	0.84	55	0.60
60	0.80		

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Termination after age 55 and after completing 10 years of Vesting Service:

The accrued normal retirement benefit multiplied by the appropriate age-based factor below:

<u>Age</u>	<u>Factor</u>	<u>Age</u>	<u>Factor</u>
65	1.00	59	0.88
64	1.00	58	0.84
63	1.00	57	0.80
62	1.00	56	0.76
61	0.96	55	0.72
60	0.92		

Late Retirement
Eligibility

Retire after normal retirement date.

Total Benefit

The normal retirement benefit accrued at the date of late retirement.

Disability Retirement for Non-Luzenac Hourly Employees

Eligibility

Five years of Vesting Service.

Total Benefit

The normal retirement benefit, calculated using Benefit Service that continues to accrue during disability leave, multiplied by the appropriate early retirement factor from the tables above.

Disability Retirement for Luzenac Hourly Employees

Eligibility

Ten years of Vesting Service.

Total Benefit

A monthly benefit equal to the greater of (a) or (b) below:

(a) The normal retirement benefit as of this date of disability,
or

(b) \$500.

Vested Termination

Eligibility

Five years of Vesting Service or age 65.

Total Benefit

The normal retirement benefit accrued at termination, commencing at age 65. The participant may elect for benefits to start after age 55, with benefits reduced by the early retirement factors for retirement with less than 10 years of service.

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Preretirement Death
Eligibility

Five years of Vesting Service.

Total Benefit

For a married participant, the surviving spouse receives 50% of the participant's accrued benefit, payable as an immediate life annuity.

For a single participant with a trust beneficiary, the trust receives lump sum equal to the actuarial equivalent of 50% of the participant's accrued benefit.

For a single participant with a non-trust beneficiary, the beneficiary receives the actuarial equivalent of 50% of the participant's accrued benefit, payable as a 60-month temporary life annuity.

Normal Form of Benefit

50% J&S annuity if married, otherwise a life annuity.

For married participants, if the spouse pre-deceases the participant, payments will continue to the participant in the amount equal to what the participant would have received at retirement had the participant elected a single life annuity.

Optional Forms of Payment

A retiring participant may also elect other optional forms of payment on an actuarially equivalent basis. These options include:

- life annuity,
- 50%, 75%, or 100% joint and survivor annuities,
- 5, 10, or 15 year certain and life annuities,
- level income option for retirement prior to commencement of Social Security benefits, and
- lump sum, if monthly benefit is \$100 or less.

Before April 1, 2018, these optional forms are based on the 1971 Group Annuity Male Mortality Table and 5.00% interest.

After April 1, 2018, these optional forms are based on the 417(e) Mortality Table and 6.00% interest.

Employee Contributions

None required or permitted.

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Definitions

Benefit Service	Elapsed service from the later of January 1, 2003 and date of hire, excluding periods while a participant is on a leave of absence. Benefit Service is frozen as of September 30, 2007 for those participants who chose to transfer into the IPP.
Vesting Service	All service from date of hire. Includes periods while a participant is on a leave of absence.
Final Average Earnings	Average of the highest Eligible Earnings in the 36 consecutive months out of the last 120 months of service. Final Average Earnings is not frozen for those participants who chose to transfer to the IPP, nor for those participants who were rehired into the IPP with a break in service of less than five years.
Eligible Earnings	Base pay and 50% of any short-term bonus. Base pay means total earnings including deferred base pay, lump sum merit pay, pre-tax 401(k) or cafeteria plan contributions, but excluding overtime, severance pay, bonuses, and extraordinary items.
Social Security Covered Compensation	The average amount of earnings under the Social Security Act equal to the average of the maximum Taxable Wage Base in each year that would be used to calculate the Social Security benefit for a participant retiring at his Social Security Retirement Age.
Highest Average Earnings	A participant's annual Earnings for the highest three consecutive calendar years ending at least three months before normal retirement or earlier termination, divided by 35.
Earnings	Regular base pay, incentive program pay, overtime and other premium pay, certain lump sum payments payable in lieu of salary or wage increases, pay under any plan of variable compensation and 401(k), Section 125 and Section 132(f)(4) deferrals.

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U.S. Borax Supplement

Participation

These plan provisions apply to participants who were employees of U.S. Borax Inc. prior to January 1, 2003.

Normal Retirement

Eligibility

Age 65.

Total Benefit

A monthly benefit equal to (i) plus (ii) below, multiplied by Pensionable Service after July 1, 1974.

(i) 1% of Final Average Earnings up to Social Security Covered Compensation.

(ii) 1.667% of Final Average Earnings in excess of Social Security Covered Compensation.

Prior plan benefit applies to service before July 1, 1974.

Minimum monthly benefit equal to \$72.00 times all years of service.

Early Retirement

Eligibility

Age 55.

Benefit

Normal retirement benefit reduced by the early retirement factors above for retirement with more than 10 years of service.

Definitions

Pensionable Service

All service after one year of service or from date of hire after five years of service, but not beyond December 31, 2002. May include periods during which a participant is on a leave of absence.

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Final Average Earnings

Average of the highest earnings in the 36 consecutive months out of the last 120 months of service. Final Average Earnings was not frozen as of December 31, 2002.

Earnings include:

- Base pay.
- 50% of short-term bonuses paid during 36-month period.
- Overtime pay for the three consecutive calendar years ending before 2003 with the highest overtime pay (if employment terminates prior to 12/31/2007).
- Up to 520 hours of vacation pay for vacation earned but not taken (if employment terminates prior to 12/31/2009).

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Luzenac Supplement

Participation

These plan provisions apply to salaried participants' periods of employment with Luzenac America, Inc. prior to January 1, 2003.

Normal Retirement

Eligibility

Age 65 and five years of service.

Total Benefit

A monthly benefit equal to the sum of (a), (b), and (c), but not less than (d), below:

(a) 1.20% of Final Average Earnings up to Social Security Covered Compensation multiplied by years of Benefit Service, not to exceed 35 years.

(b) 1.65% of Final Average Earnings in excess of Social Security Covered Compensation, multiplied by Benefit Service, not to exceed 35 years.

(c) 1.50% of Final Average Earnings multiplied by Benefit Service in excess of 35 years.

(d) \$40 multiplied by all years of service.

Early Retirement

Eligibility

Age 55 and 10 years of service.

Benefit

The accrued normal retirement benefit multiplied by the appropriate age-based factor below:

<u>Age</u>	<u>Factor</u>	<u>Age</u>	<u>Factor</u>
65	1.00	59	0.85
64	1.00	58	0.80
63	1.00	57	0.75
62	1.00	56	0.70
61	0.95	55	0.65
60	0.90		

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Definitions

Benefit Service	Elapsed time from date of employment, ending on December 31, 2002.
Final Average Earnings	Average of the highest earnings during the 60 consecutive months during the 120 months of service preceding termination or retirement. Final Average Earnings was not frozen as of December 31, 2002.
Eligible Earnings	Base pay and 50% of any short-term bonus. Base pay means total earnings including deferred base pay, lump sum merit pay, pre-tax 401(k) or cafeteria plan contributions, but excluding overtime, severance pay, bonuses, and extraordinary items.

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Kennecott Supplement

Participation	These plan provisions apply to participants who were employees of Kennecott Corporation prior to January 1, 2003.
Normal Retirement	
Eligibility	Age 65.
Total Benefit	The actuarial equivalent of the opening and current account balances.
Early Retirement	
Eligibility	Age 55 and 10 years of service.
Benefit	The actuarial equivalent of the opening and current account balances.
Accounts and Credits to Accounts	
Opening Account	For all participants who were active as of January 1, 1989, an opening account balance was established based on benefits accrued under prior plans.
Current Account	<p>A current account was established for each participant as of the later of (i) January 1, 1989 or (ii) the date the participant first becomes eligible for the plan.</p> <p>At the end of each calendar month, pay-related credits are added to the current account. No pay-related credits are granted after December 31, 2002.</p>
Regular Interest Credits	Regular interest credits are added to all accounts at an effective annual rate equal to the greater of (i) 5%, or (ii) the average (rounded to the nearest one-hundredth of one percent) of the one-year Treasury bill rates in effect during each month of the 12-month period ending on November 30 of the preceding calendar year, rounded up to the nearest one-quarter of one percent, plus one percent.
Supplemental Interest Credits	An additional supplemental interest credit at a rate equal to one-half of the regular interest rate applies to the opening account prior to termination of employment. Effective January 1, 2016, the supplemental interest credit is no longer granted.

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Legacy Alcan Pension Plan Provisions

Plan History

Following is a description of significant events that have occurred within the past ten years.

Effective December 31, 2011, all benefit accruals are frozen for certain Cable unit employees. Benefit Service and Social Security Covered Compensation are frozen as of December 31, 2011. Highest Average Earnings shall not include earnings during 2011 or any subsequent years. Members who are affected are "Non-Grandfathered Cable Unit Members" and include participating employees that do not meet the following criteria:

- age 45 and ten years of Benefit Service, or;
- age 55 and nine years of Benefit Service or ten years of Eligibility Service.

All other Cable unit employees are "Grandfathered Cable Unit Members" and continue to accrue benefits. This includes any Cable unit employee on long-term disability or severance.

Effective December 31, 2011, all benefit accruals under the AlcanCorp Plan formula are frozen for Salaried Sebree and Cleveland employees. These participants start to accrue benefits under the Rio Tinto America Plan formula for service after December 31, 2011. The December 31, 2011 frozen benefit is increased by the percentage increase of the Final Average Earnings (as defined under the Rio Tinto America formula), over the participant's Highest Average Earnings (as defined under the AlcanCorp formula) at December 31, 2011.

Effective December 31, 2011, any PPPI employee who was a participant of the Alcan Combined Pension Plan as of December 31, 2011 shall become a participant of the AlcanCorp Pension Plan as of January 1, 2012. For these participants, the benefit payable from the AlcanCorp Pension Plan is equal to the benefit accrued under the Alcan Combined formula using all years of service and pay prior to termination, and offset by the benefit accrued under the Alcan Combined formula as of December 31, 2011.

The Specialty Aluminas business unit was sold in August 2012 and the Cable business unit was sold on September 4, 2012. For participants with ongoing accruals, any accruals in the plan have ceased as of the date of sale. Any participants that were terminated as a result of the sales with less than five years of service have been vested in their benefit. Participants that were on LTD at the time of the sale will continue to earn future service accruals from the AlcanCorp Pension Plan.

As of September 30, 2012, accruals for Cleveland participants were frozen in the AlcanCorp Pension Plan. These participants transferred to the Rio Tinto America Plan on October 1, 2012. The Rio Tinto America Plan provides future accruals and pay growth on the past service frozen benefit from the AlcanCorp Plan.

Any remaining Cable, PPPI and LTD participants in the AlcanCorp Pension Plan as of December 31, 2012 have transferred to the Rio Tinto America Plan. Accruals in the AlcanCorp Pension Plan have ceased as of December 31, 2012 for these participants. The Rio Tinto America Plan provides future accruals and pay growth on the past service benefit from the AlcanCorp Plan, as applicable.

As of July 1, 2013, accruals were frozen for all remaining participants.

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Effective December 31, 2013, the Alcan Combined Pension Plan was merged into the AlcanCorp Pension Plan, and the merged plan was renamed the Rio Tinto Alcan Pension Plan (U.S.). The January 1, 2014 funding valuation reflects the benefit liabilities and plan assets of the Alcan Combined Pension Plan that merged into the Rio Tinto Alcan Pension Plan (U.S.) on December 31, 2013.

As of November 6, 2017, all participants who were part of the annuity contract purchase that occurred on October 31, 2017 are no longer participants under the plan.

As of August 6, 2018, all participants who were part of the annuity contract purchase that occurred on August 1, 2018 are no longer participants under the plan.

Effective April 1, 2018, the plan's actuarial equivalence definition was changed for the non-legacy PPPI groups to 6.00% interest and the 417(e) Mortality Table.

Effective December 31, 2019, the Alcan plan was merged into the RTA plan.

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Plan Provisions – Legacy AlcanCorp Pension Plan

Effective Date	July 1, 1964
Effective Date of Most Recent Amendment	January 1, 2014; provides for a one-time lump sum offer for terminated vested participants terminated prior to January 1, 2014.
Participants Accruing Under Formula	<p>As of January 1, 2012: Active Cable, Sebree Salaried and Cleveland Salaried employees that were AlcanCorp Pension Plan Participants before 2012. Plan provisions below are for the pre-2012 accrued benefit for this group.</p> <p>As of September 4, 2012: The Specialty Aluminas and Cable business units were sold. Accruals for this group are frozen in the AlcanCorp Pension Plan.</p> <p>As of September 30, 2012: Cleveland Salaried employees transferred to the Rio Tinto America Plan. Accruals for this group are frozen in the AlcanCorp Pension Plan.</p> <p>As of December 31, 2012: Accruals for any remaining PPPI, Cable and LTD participants cease. These participants accrue in the Rio Tinto America Plan for post-2012 service.</p> <p>Inactive AlcanCorp Pension Plan participants that were former Cleveland Hourly, Mt. Vernon Hourly, Pharma Hourly, Pharma Salaried or Pechiney Cast Plate Salaried and Hourly employees have accrued benefits under the terms of the respective legacy plan.</p> <p>As of July 1, 2013: Accruals are frozen for all remaining ACPP participants.</p>
Participation	<p>All regular full time employees who are not represented by a collective bargaining agreement</p> <p>Other employees are eligible after completing a 12-month period of employment in which the employee has 1,000 hours of service or more</p> <p>Participation is closed to new hires as of January 1, 2012</p>

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Freeze Dates

Benefit accruals are frozen for non-grandfathered Cable participants effective December 31, 2011

Benefit accruals under the AlcanCorp formula are frozen for Sebree and Cleveland Salaried participants effective December 31, 2011, but are increased by the percentage increase of the Final Average Earnings (as defined under the Rio Tinto America formula), over the participant's Highest Average Earnings at December 31, 2011 (as defined under the AlcanCorp formula). These participants accrue under the Rio Tinto America Plan formula for post-2011 benefit service.

All benefit accruals from the AlcanCorp Pension Plan are frozen for Cleveland participants effective September 30, 2012.

Benefit accruals for all remaining AlcanCorp Pension Plan participants are frozen effective July 1, 2013.

Date of Participation

First of month following date of hire for regular full time employees

Normal Retirement
Eligibility

Age 65 and five years of Eligibility Service

Total Benefit

A monthly benefit equal to (a) plus (b) plus (c) below:

- (a) 45% of Highest Average Earnings
- (b) 15% of Highest Average Earnings in excess of the Social Security Covered Compensation
- (c) 0.25% of Highest Average Earnings times the number of Unused Months

If the participant has fewer than 35 years of Benefit Service, then the monthly benefit amount will be multiplied by the participant's Benefit Service and divided by 35

Accrued Benefit "Ratchet"

In no event will the total benefit amount above be less than the total benefit calculated as of any prior March 1

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Frozen Seebree and Cleveland Benefit

The benefit under the AlcanCorp formula for Seebree and Cleveland participants is determined as the greater of (a) and (b) below:

(a) Accrued benefit as of December 31, 2011 using Benefit Service and Highest Average Earnings as of December 31, 2011 (*based on Earnings through December 31, 2010*), plus the Highest Average Earnings make-up (Part (c) above), increased by the percentage increase of the Final Average Earnings under the Rio Tinto formula at termination over the Highest Average Earnings at December 31, 2011, if any.

(b) Accrued benefit as of December 31, 2011 using Benefit Service and Highest Average Earnings as of December 31, 2011 (*based on Earnings through December 31, 2011*), increased by the percentage increase of the Final Average Earnings under the Rio Tinto formula at termination over the Highest Average Earnings at December 31, 2011, if any.

Prior Plan Offsets

If Benefit Service includes service from other company sources and the prior plan benefit is not payable from the AlcanCorp Trust, the total benefit amount above is offset by any such benefit. The offset amount cannot exceed the benefit amount that would be accrued had only Benefit Service giving rise to the offset were used in determining the total benefit.

Early Retirement Eligibility

Age 55 and five years of Eligibility Service, or when age plus Eligibility Service is at least 75

Total Benefit

The accrued normal retirement benefit multiplied by the appropriate age-based factor below:

Age	Factor
65	1.00
64	0.99
63	0.97
62	0.94
61	0.90
Below 60	In steps of .04

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Late Retirement Eligibility	After age 65 with five years of Eligibility Service
Total Benefit	The normal retirement benefit actuarially increased beyond the normal retirement date.
Vested Termination Eligibility	Five years of Eligibility Service
Total Benefit	The normal retirement benefit accrued at date of termination, commencing at age 65. The participant may elect for benefits to start before age 65, with benefits reduced by the early retirement reduction factors above.
Cable and Specialty Aluminas	Any Cable and Specialty Aluminas participants affected by the sales are immediately vested in their benefit
All active participants	All remaining active participants as of July 1, 2013 are immediately vested as a result of the plan freeze
Preretirement Death Eligibility	Any vested participant or participant eligible for early retirement, and married to an eligible spouse
Total Benefit	<p>For a participant who is eligible for early or normal retirement, the benefit is an immediate annuity to the surviving spouse equal to 50% of the monthly benefit the participant would have been entitled to had he retired the day before his death and elected the 50% J&S option.</p> <p>For all other vested participants, the benefit is a deferred annuity to the surviving spouse equal to 50% of the monthly benefit that the participant would have been entitled to had he terminated employment on the date of his death, survived to the earliest retirement age, elected the 50% J&S option, and then died the following day.</p>
Disability Retirement Eligibility	Eligible for a medical leave of absence
Total Benefit	The normal retirement benefit, computed using Benefit Service that continues to accrue during disability leave

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Normal Form of Benefit

50% J&S annuity if married, otherwise 5 year certain and life annuity. For married participants, the normal form of benefit is actuarially reduced if the spouse is 10 years younger

Optional Forms of Payment

A retiring participant may also elect other optional forms of payment on an actuarially equivalent basis. The options include:

- Full Benefit Joint and Survivor Annuity: Payable for life of participant with an amount less than 50% payable to the spouse upon the participant's death. Only available if spouse is more than 10 years younger. The participant's benefit is not reduced for payment form.
- Continuing Income Joint and Survivor Annuity: Payable for life of participant with a chosen percent (1-100%) payable to the beneficiary upon the participant's death.
- A level income option for retirement prior to commencement of Social Security benefits.
- Lump sum if monthly retirement benefit is less than \$100.
- Participants with accrued benefits from prior plans may have different optional forms

Most optional forms are based on the 417(e) Mortality Table and 6.00% interest. Certain prior plans use different actuarial equivalence for benefits accrued in those plans.

Benefit Limits

Effective January 1, 2002, EGTRRA increased the Internal Revenue Code section 415 limit to \$160,000 and the limit on compensation to \$200,000. The \$200,000 pay limit was applied retroactively for participants who were active as of January 1, 2002.

Definitions

Eligibility Service

All aggregated periods of service based on the elapsed time method, as allowable by law. Partial years are rounded to the next higher whole number of years.

Benefit Service

Includes full years and completed months of service included in Eligibility Service. Excludes any period of service when the employee refused to make required

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contributions, and periods of service in certain affiliated companies for participants that transferred into the Plan.

Earnings

Regular base pay, incentive program pay, overtime and other premium pay, certain lump sum payments payable in lieu of salary or wage increases, pay under any plan of variable compensation and 401(k), Section 125 and Section 132(f)(4) deferrals

Highest Average Earnings

A participant's annual Earnings for the highest three consecutive calendar years ending at least three months before normal retirement or earlier termination, divided by 35

Social Security Covered Compensation

Average of the Social Security Tax Bases for the 35 year period beginning with the date in which Highest Average Earnings are calculated.

Unused Months

The number of months included in Benefit Service that cannot be included in the period used to determine Highest Average Earnings. The number of Unused Months is based on the date benefit service stops, according to the following table:

Date Benefit Service Stops	Unused Months
January 1	12
February 1	13
March 1	14
April 1	3
May 1	4
June 1	5
July 1	6
August 1	7
September 1	8
October 1	9
November 1	10
December 1	11

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Plan Provisions – Rio Tinto America Plan Formula

Participants Accruing Under Formula Sebree and Cleveland Salaried Participants that are active as of January 1, 2012 accrue their post-2011 benefit under the Rio Tinto America Plan formula

Accruals for Cleveland participants are frozen as of September 30, 2012 in the AlcanCorp Pension Plan

Normal Retirement
Eligibility

Age 65.

Total Benefit

A monthly benefit equal to (a) plus (b) below, multiplied by post-2011 Benefit Service:

(a) 1% of Final Average Earnings up to Social Security Covered Compensation.

(b) 1.667% of Final Average Earnings in excess of Social Security Covered Compensation.

Early Retirement
Total Benefit

For terminations after completion of 5 years of Eligibility Service, the accrued normal retirement benefit is multiplied by the appropriate age-based factor below:

<u>Age</u>	<u>Factor</u>	<u>Age</u>	<u>Factor</u>
65	1.00	59	0.76
64	0.96	58	0.72
63	0.92	57	0.68
62	0.88	56	0.64
61	0.84	55	0.60
60	0.80		

For terminations after completion of 10 years of Eligibility Service, the accrued normal retirement benefit is multiplied by the appropriate age-based factor below:

<u>Age</u>	<u>Factor</u>	<u>Age</u>	<u>Factor</u>
65	1.00	59	0.88
64	1.00	58	0.84
63	1.00	57	0.80
62	1.00	56	0.76
61	0.96	55	0.72
60	0.92		

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Vested Termination
Eligibility

Five years of Eligibility Service or age 65.

Total Benefit

The normal retirement benefit accrued at termination, commencing at age 65. The participant may elect for benefits to start after age 55, with benefits reduced by the early retirement factors for retirement with less than 10 years of service.

Normal Form of Benefit

50% J&S annuity if married, otherwise a life annuity.

Optional Forms of Payment

Sebree and Cleveland retiring participant may also elect other optional forms of payment on an actuarially equivalent basis. These options include:

- 50%, 66.67%, 75%, or 100% joint and survivor annuities,
- 5 year certain and life annuity,
- level income option for retirement prior to commencement of Social Security benefits, and
- lump sum, if monthly benefit is \$100 or less.

These optional forms are based on the mortality table prescribed by Code Section 417(e)(3) and 6.00% interest.

Definitions

Final Average Earnings

Average of the highest Eligible Earnings in the 36 consecutive months out of the last 120 months of service, excluding earnings before January 1, 2012 are not counted.

Eligible Earnings

Base pay and 50% of any short-term bonus.

Base pay means total earnings including deferred base pay, lump sum merit pay, pre-tax 401(k) or cafeteria plan contributions, but excluding overtime, severance pay, bonuses, and extraordinary items.

Social Security Covered Compensation

The average amount of earnings under the Social Security Act equal to the average of the maximum Taxable Wage Base in each year that would be used to calculate the Social Security benefit for a participant retiring at his Social Security Retirement Age.

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Plan Provisions – Alcan Combined Pension Plan Formula

Participants Accruing Under Formula	<p>PPPI participants that are active as of January 1, 2012</p> <p>Benefit payable from the AlcanCorp Pension Plan is equal to the benefit accrued under the Alcan Combined formula using all years of service and pay prior to termination, and offset by the benefit accrued under the Alcan Combined Pension Plan as of December 31, 2011.</p> <p>PPPI participants transferred to the Rio Tinto America Plan on January 1, 2012</p>
ANCG Offset for PPPI Employees Transferring from ANC	<p>Benefits payable from the Plan will be equal to the Total Benefit payable to a participant minus the portion of the benefit that will be paid by former ANC Plan #020.</p> <p>The ANCG portion of the benefit will be based on service with ANCG and the Highest Average Salary upon termination from PPPI. Highest Average Salary for the ANCG portion of the benefit is limited to an average of 5% increases from the ANCG Highest Average Salary at the time of participant transfer. Eligibility for benefits is based on combined service with PPPI and ANCG.</p>
Eligibility by Group	
Blue	<p>For Non-Cebal Tubes Americas Participants: Hired before January 1, 2005 and age plus service total was 50 or more as of December 31, 2006</p> <p>For Cebal Tubes Americas Participants: Hired before January 1, 2005 and age plus service total was 55 or more as of December 31, 2006</p>
Green	<p>Hired before January 1, 2005 and age plus service total is less than 50 for non-Cebal participants and less than 55 for Cebal participants as of December 31, 2006.</p>
Yellow	<p>Hired by Alcan on or after January 1, 2005.</p>
Orange	<p>Hired before January 1, 2005 and a former Lawson Mardon employee.</p>

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Normal Retirement—Blue Participants

Eligibility

Age 65.

Total Benefit

A monthly benefit equal to (a) reduced by (b), plus (c) below:

- (a) 1.5% of the Participant's Highest Average Salary times Service not in excess of 35 years.
- (b) 1.5% of the Participant's Primary Social Security Benefit times Service covered by (a) that occur after December 31, 1978.
- (c) 1% of the Participant's Highest Average Salary times Service in excess of 35 years, if any.

In no event shall the monthly retirement benefit be less than the benefit accrued at December 31, 1988 from the American National Can Group Retirement Plan for Salaried Employees—Plan 1 or Plan 2, or the Guardian Packaging Corporation Retirement Plan for Salaried Employees if a participant was formerly a participant in any of these plans.

Various divisions acquired by American National Can Group are subject to a past service date before which credit for service for benefit accrual purposes is not granted.

Early Retirement—Blue Participants

Eligibility

Age 55 and five years of vesting service.

Total Benefit

A monthly benefit equal to (a) reduced by (b), plus (c) below:

- (a) 1.5% of the participant's highest average salary times service not in excess of 35 years. Such amount shall be reduced by $\frac{1}{4}$ of 1% for each month by which the benefit commencement date precedes age 62. Such reduction shall not apply if the participant retires after age 60 with at least 30 years of service.
- (b) 1.5% of the participant's primary social security benefit times service covered by (a) that occur after December 31, 1978. Such amount shall be reduced by $\frac{1}{180}$ th for the first 60 months and $\frac{1}{360}$ th for the next 60 months by which the benefit commencement date precedes normal retirement date.

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- (c) 1.0% of the participant's highest average salary times service in excess of 35 years, if any. Such amount shall be reduced by $\frac{1}{4}$ of 1% for each month by which the benefit commencement date precedes age 62. Such reduction shall not apply if the participant retires after age 60 with at least 30 years of service.

Late Retirement—Blue Participants
Eligibility

Age 65.

Total Benefit

The normal retirement benefit, computed using highest average salary and service to actual date of retirement.

Deferred Vested—Blue Participants
Retirement
Eligibility

Five years of vesting service.

Total Benefit

Normal retirement benefit accrued to date of termination commencing at age 65 or reduced by $\frac{1}{2}$ of 1% for each month the first payment precedes the employee's normal retirement date.

Normal Retirement—Green Participants
Eligibility

Age 65.

Total Benefit

A monthly benefit equal to (a) plus (b) below:

- (a) Normal retirement formula payable to Blue participants with service frozen as of December 31, 2006 and pay based on Highest Average Salary at retirement and the participant's primary social security benefit at retirement.
- (b) 1.5% of career average pay times service with pay and benefit service beginning on January 1, 2007.

Early Retirement—Green Participants
Eligibility

Age 55 and five years of vesting service.

Total Benefit

A monthly benefit equal to (a) plus (b) below:

- (a) Early retirement formula payable to Blue participants with service frozen as of December 31, 2006 and pay based on Highest Average Salary at termination.
- (b) 1.5% of career average pay times service with pay and benefit service beginning on January 1, 2007. Such

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amount shall be actuarially reduced from age 65 for early commencement.

Late Retirement—Green Participants
Eligibility

Age 65.

Total Benefit

The normal retirement benefit, computed using salary and service at actual date of retirement.

Deferred Vested—Green Participants
Eligibility

Five years of vesting service.

Total Benefit

The normal retirement benefit accrued to date of termination commencing at age 65. If the benefit commences before age 65, the portion of the benefit payable under the Blue formula is reduced by $\frac{1}{2}$ or 1% for each month the first payment precedes the employee's normal retirement date, and the portion of the benefit payable under the career average formula is actuarially reduced for early commencement.

Normal Retirement—Yellow and Orange Participants
Eligibility

Age 65.

Total Benefit

A monthly benefit equal to 1.5% of career average pay times benefit service. Benefit service begins at later of January 1, 2006 and date of hire for Plastics (Flex Salaried) and Orange (Former Lawson Mardon and Shelbyville Pharma) participants. Benefit service begins at later of January 1, 2005 and date of hire for all other yellow participants.

Early Retirement—Yellow and Orange Participants
Eligibility

Age 60 and five years of vesting service.

Total Benefit

Normal retirement benefit actuarially reduced from age 65 for early commencement.

Late Retirement—Yellow and Orange Participants
Eligibility

Age 65.

Total Benefit

The normal retirement, computed using salary and service at actual date of retirement.

Deferred Vested Retirement—Yellow and Orange Participants
Eligibility

Five years of vesting service.

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Total Benefit	The normal retirement benefit accrued to date of termination commencing at age 65 or actuarially reduced for commencement before age 65.
Disability Retirement—All Participants Eligibility	Entitled to benefits under the Company's Long-Term Disability (LTD) Plan and disability benefits under provisions of the Social Security Act.
Total Benefit	Participants with a date of disability before January 1, 2007 continue to accrue benefit service through the earlier of age 65 or the date their disability ends. Post-2011 benefit service for this group is accrued in the AlcanCorp Pension Plan.
Preretirement Spouse's Annuity Eligibility	Any vested participant (active or terminated).
Total Benefit	<p>For a participant who is eligible for early or normal retirement, the benefit is an immediate annuity to the surviving spouse equal to 50% of the monthly benefit the participant would have been entitled to had he retired the day before his death and elected the 50% J&S option.</p> <p>For all other vested participants, the benefit is a deferred annuity to the surviving spouse equal to 50% of the monthly benefit the participant would have been entitled to had he terminated employment on the date of his death, survived to early retirement age, elected the 50% J&S option, and then died the following day.</p>
ANCG Offset	The ANCG portion of the benefit will be based on service with ANCG and the Highest Average Salary upon death or termination from PPPI, whichever comes earlier. Highest Average Salary for the ANCG portion of the benefit is limited to an average of 5% increases from ANCG Highest Average Salary at the time of participant transfer.
Normal Form of Annuity	Actuarially reduced 50% J&S annuity if married, otherwise straight life.
Optional Forms of Payment	<p>Joint and Survivor: 50%, 66 $\frac{2}{3}$%, 75%, 100%. Certain & Life: 5-year, 10-year.</p> <p>Lump sum if monthly retirement benefit is \$100 or less.</p> <p>These optional forms are based on the mortality table prescribed by Code Section 417(e)(3) and 6.00% interest.</p>

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Highest Average Salary

The average monthly compensation for the 60 consecutive months of service affording the highest such average monthly compensation.

Primary Social Security Benefit

The monthly amount to which an employee is or would be entitled, assuming that he would continue to receive, until he reached 65, compensation at the same rate as in effect on the date of termination.

Past Service Limitation:

	Division	Location	Past Service Date
For Former NCC Salaried Plan 2 Locations:	Dura-Closure	Hutchinson	08/19/1974
		Consolidated Cork	02/25/1971
		Bedford Park, CA	03/01/1980
		Bernardin, IN	03/06/1980
	NCC-Glass	Oil City	08/11/1969
		Shawmut	08/31/1970
		Kerr	09/19/1983
	NCC-MCD Plastic Container Division	Kaiser	03/07/1983
			08/01/1979
For ANC Salaried Plan Locations:	Color-Ad		04/01/1988
	Ludlow		12/01/1987
	Longview		01/11/1991
	Winston-Salem		07/01/1993
	Asheville		04/01/1995
For PPPI Salaried Plan Locations:	Kenpak		01/01/2000
	JPS		07/01/2001
	Phoenix		02/02/2002

Compensation

Compensation shall include base salary, 401(k) or section 125 salary reductions, overtime, commissions and shift premium payments, and non-deferred incentive awards paid during the year. Compensation does not include any flexible amount regardless of whether received in cash.

Effective January 1, 2002, EGTRRA increased the Internal Revenue Code section 415 limit to \$160,000 and the limit on compensation to \$200,000. The \$200,000 pay limit was applied retroactively for participants who were active as of January 1, 2002.

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Special Provisions Applicable to Former Nonhighly-Compensated Members of the
American National Can Group Retirement Plan for Salaried Employees—Plan 1 (i.e.,
former ACPI Salaried Plan)

Note: Eligibility for these special provisions is based on service in the ANCG Salaried Plan, but the actual monthly retirement benefit and the annual salary is based on accredited service and salary as of December 31, 1988 (under the terms of the ACPI Salaried Plan then in effect).

PPPI assumes all liabilities under the ANC 25-Year Survivorship and ANCG 10-Year Survivorship Plan in respect to PPPI employees transferring from ANC.

Survivor Income Benefit

Eligibility

The following requirements must be met at death:

- Hired before January 1, 1979
- Ten years of service
- Employee is active, on leave, on long-term or short-term disability, and
- Not covered by the Survivorship Benefit.

Total Benefit

For death before age 55: a monthly benefit of \$100 payable to the employee's age 55. After the employee's age 55, a monthly benefit equal to the greatest of \$100, 15% of the monthly retirement benefit (as if retired on date of death), or the Preretirement Spouse's Benefit.

For death after age 55: a monthly benefit equal to the greatest of \$100, 15% of the monthly retirement benefit (as if retired on date of death), or the Preretirement Spouse's Benefit.

Survivorship Benefit

Eligibility

The following requirements must be met at death:

Employed on or before April 30, 1975
25 years of service before age 65, and
Either active, on long-term or short-term disability, or an early retiree (does not include vested terminations).

Total Benefit

An amount calculated from a benefit base of two times frozen annual salary (base pay plus salary reductions only). If the benefit base is greater than \$5,000, the amount shall be paid in monthly installments to a beneficiary in such amounts as would have been payable had the benefit base been used to purchase a straight life annuity from an insurance company.

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Covered Work Force Realignment	An employee separated due to work force realignment and covered by the severance pay provisions may be eligible for special retirement benefits if certain other conditions are met (employed on August 31, 1985, at least age 50, and eight years of accredited service at separation).
Employee Contributions	None required since 1972.
Other Workforce Reductions	Any subsidy or enhancement granted to PPPI employees as part of a workforce reduction will be PPPI's responsibility. In other words, the ANC Former Plan #020 will not provide additional benefits due to workforce reduction initiatives.
Commencement of Benefits	PPPI employees may not commence benefits (ANCG or PPPI benefits) until they have terminated or retired from PPPI.

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Alcan Plastic Division Hourly Non-Union Participants (Former PPPI Plan #002)

Plastics Hourly Non-Union	Bellevue	Contract Period: N/A
<i>Benefit</i>	<i>Eligibility</i>	<i>Provision</i>
Normal Retirement	Age 65.	Bellevue — \$28.00 (Sold during 2006). Asheville — \$19.00 per year of credited service after April 1, 1995. There have been no benefit level changes in the past ten years.
Early Retirement		
Full	None.	N/A.
Reduced	Age 55 with ten years of service.	Accrued benefit, reduced ½% per month before age 65.
Disability	Fifteen years of service.	Accrued benefit.
Vesting	Five years of service.	Accrued benefit payable at normal retirement date. Participants with at least 10 years of service at termination can commence before age 65. The accrued benefit is reduced ½% per month from age 65.
Plant Closing/Layoff	None.	N/A.
Preretirement Spouse's Annuity	Five years of service.	Automatic Preretirement 50% Joint and Survivor Coverage; benefits are deferred to earliest retirement age.

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ANCG Offset	Participants transferring from ANC to PPPI	Benefits payable will be equal to the total benefit payable to a participant minus the portion of the benefit that will be paid by former ANC Plan #177. The ANCG portion of the benefit will be based on service with ANCG and the ultimate negotiated benefit level as of the date of the transfer (\$20.50 for Bellevue and \$19.00 for Asheville). Service with both ANCG and PPPI combined will be used to determine eligibility for benefits.
Normal Form of Annuity		Actuarially reduced 50% J&S annuity if married, otherwise straight life.
Optional Forms of Payment		Joint and Survivor: 50%, 75% and 100%. These optional forms are based on the mortality table prescribed by Code Section 417(e)(3) and 6.00% interest.

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Alcan Food Packaging Hourly Union Participants (Former PPPI Plan # 003)

**Plastics Hourly
Union**

Joint GCIU

Contract Period: July 1, 2007 to June 30, 2010

Benefit

Eligibility

Provision

Normal Retirement

Age 65.

\$37.00. Increases apply to retirees who retire on or after July 1, 2009.

The following table lists all benefit level changes in the past ten years:

Effective Date	Benefit Level
7/1/2009	\$37.00
7/1/2008	\$36.50
7/1/2007	\$36.00

Early Retirement
Full

Age 62 with 15 years of service.

Accrued benefit.

Reduced

Age 55 with 15 years of service.

Accrued benefit, reduced ½% per month before age 62.

Disability

Fifteen years of service.

Accrued benefit.

Vesting

Five years of service.

Accrued benefit payable at normal retirement date. Participants with at least 15 years of service at termination can commence before age 65. The accrued benefit is reduced ½% per month from age 65.

Plant Closing/Layoff

None.

N/A.

Preretirement
Spouse's Annuity

Five years of service.

Automatic Preretirement 50% Joint and Survivor Coverage; minimum monthly benefit of \$100; benefits are deferred to earliest retirement age.

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ANCG Offset	Participants transferring from ANC to PPPI	<p>Benefits payable for Joint GCIU will be equal to the total benefit payable to a participant minus the portion of the benefit that will be paid by former ANC Plan #067.</p> <p>The ANCG portion of the benefit will be based on service with ANCG and the ultimate negotiated benefit level as of the date of the transfer (\$29.50).</p> <p>Service with both ANCG and PPPI combined will be used to determine eligibility for benefits.</p>
Normal Form of Annuity		<p>Actuarially reduced 50% J&S annuity if married, otherwise straight life.</p>
Optional Forms of Payment		<p>Joint and Survivor: 50%, 75%, and 100%.</p> <p>These optional forms are based on the mortality table prescribed by Code Section 417(e)(3) and 6.00% interest.</p>

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**Plastics Hourly
Union**

Joint UPIU (PACE)

Contract Period: August 1, 2006 to July 31, 2009

Benefit

Eligibility

Provision

Normal Retirement

Age 65.

\$36.25. Increases apply to retirees who retire on or after August 1, 2008.

The following table lists all benefit level changes in the past ten years:

Effective Date	Benefit Level
8/1/2008	\$36.25
8/1/2007	\$35.50

Early Retirement
Full

Age 62 with 15 years of service.

Accrued benefit.

Reduced

Age 55 with 15 years of service.

Accrued benefit, reduced ½% per month before age 62.

Disability

Fifteen years of service.

Accrued benefit.

Vesting

Five years of service.

Accrued benefit payable at normal retirement date. Participants with at least 15 years of service at termination can commence before age 65. The accrued benefit is reduced ½% per month from age 65.

Plant Closing/Layoff

None.

N/A.

Preretirement
Spouse's Annuity

Five years of service.

Automatic Preretirement 50% Joint and Survivor Coverage; minimum monthly benefit of \$100; benefits are deferred to earliest retirement age.

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ANCG Offset	Participants transferring from ANC to PPPI	Benefits payable for Joint UPIU (PACE) will be equal to the total benefit payable to a participant minus the portion of the benefit that will be paid by former ANC Plan #068. The ANCG portion of the benefit will be based on service with ANCG and the ultimate negotiated benefit level as of the date of the transfer (\$28.50). Service with both ANCG and PPPI combined will be used to determine eligibility for benefits.
Normal Form of Annuity		Actuarially reduced 50% J&S annuity if married, otherwise straight life.
Optional Forms of Payment		Joint and Survivor: 50%, 75% and 100%. These optional forms are based on the mortality table prescribed by Code Section 417(e)(3) and 6.00% interest.

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**Plastics Hourly
Union**

Menasha IAM

Contract Period: October 1, 2006 to September 30, 2009

Benefit

Eligibility

Provision

Normal Retirement

Age 65.

\$36.25. Increases apply to retirees who retire on or after October 1, 2008.

The following table lists all benefit level changes in the past ten years:

Effective Date	Benefit Level
10/1/2008	\$36.25
10/1/2007	\$35.50

Early Retirement
Full

Age 62 with 15
years of service.

Accrued benefit.

Reduced

Age 55 with 15
years of service.

Accrued benefit, reduced ½% per month before age 62.

Disability

Fifteen years of
service.

Accrued benefit.

Vesting

Five years of
service.

Accrued benefit payable at normal retirement date. Participants with at least 15 years of service at termination can commence before age 65. The accrued benefit is reduced ½% per month from age 65.

Plant Closing/Layoff

None.

N/A.

Preretirement
Spouse's Annuity

Five years of
service.

Automatic Preretirement 50% Joint and Survivor Coverage; minimum monthly benefit of \$100; benefits are deferred to earliest retirement age.

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ANCG Offset	Participants transferring from ANC to PPPI	Benefits payable for Menasha IAM will be equal to the total benefit payable to a participant minus the portion of the benefit that will be paid by former ANC Plan #069. The ANCG portion of the benefit will be based on service with ANCG and the ultimate negotiated benefit level as of the date of the transfer (\$28.50). Service with both ANCG and PPPI combined will be used to determine eligibility for benefits.
Normal Form of Annuity		Actuarially reduced 50% J&S annuity if married, otherwise straight life.
Optional Forms of Payment		Joint and Survivor: 50%, 75% and 100%. These optional forms are based on the mortality table prescribed by Code Section 417(e)(3) and 6.00% interest.

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Plastics Hourly
Union

St. Louis Park
(Color Ad) Hourly

Contract Period: March 1, 2008 to February 28, 2011

Benefit

Eligibility

Provision

Normal Retirement

Age 65.

\$26.00 times service after January 1, 1990 plus \$10.00 times service prior to January 1, 1990.

The following table lists all benefit level changes in the past ten years:

Effective Date	Benefit Level
1/1/2010	\$26.00 times service after 1/1/1990
1/1/2009	\$25.00 times service after 1/1/1990
1/1/2008	\$24.00 times service after 1/1/1990

Early Retirement

Full

None.

N/A.

Reduced

None.

N/A.

Disability

None.

N/A.

Vesting

\$26 future service benefit—five years of service after January 1, 1990. \$10 past service benefit—20% per year of service after January 1, 1990

Accrued benefit payable at normal retirement date.

Plant Closing/Layoff

None.

N/A.

Preretirement
Spouse's Annuity

Five years of service.

Automatic Preretirement 50% Joint and Survivor Coverage; benefits are deferred to earliest retirement age.

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ANCG Offset	Participants transferring from ANC to PPPI	Benefits payable for St. Louis Park (Color-Ad) will be equal to the total benefit payable to a participant minus the portion of the benefit that will be paid by former ANC Plan #163. The ANCG portion of the benefit will be based on service with ANCG and the ultimate negotiated benefit level as of the date of the transfer (\$10.00 times service prior to January 1, 1990 plus \$19.00 times service after January 1, 1990). Service with both ANCG and PPPI combined will be used to determine eligibility for benefits.
Normal Form of Annuity		Actuarially reduced 50% J&S annuity if married, otherwise straight life.
Optional Forms of Payment		Joint and Survivor: 50%, and 75%. These optional forms are based on the mortality table prescribed by Code Section 417(e)(3) and 6.00% interest.

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Plastics Hourly Union	Minneapolis GCIU	Contract Period: May 1, 1997 to April 30, 2000
<i>Benefit</i>	<i>Eligibility</i>	<i>Provision</i>
Normal Retirement	Age 65.	<p>\$26.50 per year of credited service after May 1, 1985 and before January 1, 2001.</p> <p>Employees have a frozen pension benefit effective December 31, 2000 with continuing eligibility for normal retirement, early retirement, and vesting.</p>
Early Retirement		
Full	None.	N/A.
Reduced	Age 55 with ten years of service.	Accrued benefit, reduced 2/5% per month before age 65.
Disability	Ten years of service.	Accrued benefit.
Vesting	Five years of service.	Accrued benefit payable at normal retirement date. Participants with at least 10 years of service at termination can commence before age 65. The accrued benefit is reduced 2/5% per month from age 65.
Plant Closing/Layoff	None.	N/A.
Preretirement Spouse's Annuity	Five years of service.	Automatic Preretirement 50% Joint and Survivor Coverage; benefits are deferred to earliest retirement age.
ANCG Offset	Participants transferring from ANC to PPPI	<p>Benefits payable for Minneapolis GCIU will be equal to the total benefit payable to a participant minus the portion of the benefit that will be paid by former ANC Plan #174.</p> <p>The ANCG portion of the benefit will be based on service with ANCG and the ultimate negotiated benefit level as of the date of the transfer (\$26.50 times service after May 1, 1985).</p> <p>Service with both ANCG and PPPI combined will be used to determine eligibility for benefits.</p>

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Normal Form
of Annuity

Actuarially reduced 50% J&S annuity if married,
otherwise straight life.

Optional Forms of
Payment

Joint and Survivor: 25%, 50%, 75%, and 100%.

10-Year Certain & Life.

These optional forms are based on the mortality table
prescribed by Code Section 417(e)(3) and 6.00%
interest.

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**Plastics Hourly
Union**

**Jaite Packaging
Services**

**Contract Period: March 1, 2009 to February 29,
2012**

Benefit

Eligibility

Provision

Normal Retirement

Age 65.

\$33.25.

The following table lists all benefit level changes in
the past ten years:

Effective Date	Benefit Level
3/1/2010	\$33.25
3/1/2008	\$32.00
3/1/2007	\$31.00

Disability

Five years of service.

Accrued benefit.

Early Retirement
Full

None.

N/A.

Reduced

Age 55 with five years
of service.

Accrued benefit, reduced ½% per month before age
65.

Vesting

Five years of service.

Accrued benefit payable at normal retirement date. If
participants commence before age 65, the accrued
benefit is reduced ½% per month from age 65.

Plant Closing/Layoff

None.

N/A.

Preretirement
Spouse's Annuity

Five years of service.

Automatic Preretirement 50% Joint and Survivor
Coverage; benefits are deferred to earliest
retirement age.

Normal Form
of Annuity

Actuarially reduced 50% J&S annuity if married,
otherwise straight life.

Optional Forms of
Payment

Joint and Survivor: 50%, 75%, and 100%.

Certain & Life: 5-Year, 10-Year, and 15-Year.

These optional forms are based on the mortality
table prescribed by Code Section 417(e)(3) and
6.00% interest.

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Alcan Beauty Tubes America Hourly Non-Union Participant (Former PPPI Plan #004)

Tubes Hourly Non-Union	Shelbyville Unorganized	Contract Period: N/A
<i>Benefit</i>	<i>Eligibility</i>	<i>Provision</i>
Normal Retirement	Age 65.	\$22.50. Benefit service is frozen as of December 31, 2006. Participants continue to accrue service for eligibility and vesting purposes. There have been no benefit level changes in the past ten years.
Early Retirement Full	Age 62 and 30 years of service.	Accrued benefit.
Reduced	Age 55 and 15 years of service.	Accrued benefit, reduced ¼% per month before age 65 (before age 62 if more than 30 years of service).
Disability	Ten years of service.	Accrued benefit.
Vesting	Five years of service.	Accrued benefit payable at normal retirement date. Participants with at least 15 years of service at termination can commence before age 65. The accrued benefit is reduced ½% per month from age 65.
Plant Closing/Layoff	None.	N/A.
Preretirement Spouse's Annuity	Five years of service.	Automatic Preretirement 50% Joint and Survivor Coverage; benefits are deferred to earliest retirement age.

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ANCG Offset	Participants transferring from ANCG to PPPI	Benefits payable for Shelbyville Unorganized will be equal to the total benefit payable to a participant minus the portion of the benefit that will be paid by former ANC Plan #051. The ANCG portion of the benefit will be based on service with ANCG and the ultimate negotiated benefit level as of the date of the transfer (\$19.25). Service with both ANCG and PPPI combined will be used to determine eligibility for benefits.
Normal Form of Annuity		Actuarially reduced 50% J&S annuity if married, otherwise straight life.
Optional Forms of Payment		Joint and Survivor: 50%, 75%, and 100%. These optional forms are based on the mortality table prescribed by Code Section 417(e)(3) and 6.00% interest.

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Tubes Hourly Non-Union	Lincoln Park	Contract Period: N/A
<i>Benefit</i>	<i>Eligibility</i>	<i>Provision</i>
Normal Retirement	Age 65 with five years of service.	\$17.50. Benefit service is frozen as of December 31, 2006. Participants continue to accrue service for eligibility and vesting purposes. There have been no benefit level changes in the past ten years.
Early Retirement Full	None.	N/A.
Reduced	None.	N/A.
Disability	None.	N/A.
Vesting	Five years of service.	Accrued benefit payable at normal retirement date.
Plant Closing/Layoff	None.	N/A.
Preretirement Spouse's Annuity	Five years of service.	Automatic Preretirement 50% Joint and Survivor coverage; benefits are deferred to normal retirement age.
ANCG Offset	Participants transferring from ANC to PPPI	Benefits payable for Lincoln Park will be equal to the total benefit payable to a participant minus the portion of the benefit that will be paid by former ANC Plan #110. The ANCG portion of the benefit will be based on service with ANCG and the ultimate negotiated benefit level as of the date of the transfer (\$16.50). Service with both ANCG and PPPI combined will be used to determine eligibility for benefits.

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Normal Form
of Annuity

Actuarially reduced 50% J&S annuity if married,
otherwise straight life.

Optional Forms of
Payment

Joint and Survivor: 50%, 75%, and 100%.

These optional forms are based on the mortality table
prescribed by Code Section 417(e)(3) and 6.00%
interest.

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Tubes Hourly Non-Union	Washington, NJ Unorganized	Contract Period: N/A
<i>Benefit</i>	<i>Eligibility</i>	<i>Provision</i>
Normal Retirement	Age 65 with five years of service.	\$22.00. Benefit service is frozen as of December 31, 2006. Participants continue to accrue service for eligibility and vesting purposes. There have been no benefit level changes in the past ten years.
Early Retirement Full	Age 62 with 30 years of service.	Accrued benefit.
Reduced	Age 55 with ten years of service.	Accrued benefit, reduced ¼% per month before age 65 (before age 62 if more than 30 years of service).
Disability	Ten years of service.	Accrued benefit.
Vesting	Five years of service.	Accrued benefit payable at normal retirement date. Participants with at least 10 years of service at termination can commence before age 65. The accrued benefit is reduced ½% per month from age 65.
Plant Closing/Layoff	None.	N/A.
Preretirement Spouse's Annuity	Five years of service.	Automatic Preretirement 50% Joint and Survivor Coverage; benefits are deferred to earliest retirement age.
ANCG Offset	Participants transferring from ANC to PPPI	Benefits payable for Washington, NJ Unorganized will be equal to the total benefit payable to a participant minus the portion of the benefit that will be paid by former ANC Plan #111. The ANCG portion of the benefit will be based on service with ANCG and the ultimate negotiated benefit level as of the date of the transfer (\$21.40). Service with both ANCG and PPPI combined will be used to determine eligibility for benefits.

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Normal Form
of Annuity

Actuarially reduced 50% J&S annuity if married,
otherwise straight life.

Optional Forms of
Payment

Joint and Survivor: 50%, 75%, and 100%.

These optional forms are based on the mortality table
prescribed by Code Section 417(e)(3) and 6.00%
interest.

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Alcan Bargaining Employees of Illinois (Former PPPI Plan #006)

**Bargaining Employees
of Illinois**

Contract Period: May 1, 2007 to April 30, 2010

Benefit Eligibility Provision

Normal Retirement Age 65. \$25.50.

The following table lists all benefit level changes in the past ten years:

Effective Date	Benefit Level
5/1/2009	\$25.50
5/1/2008	\$24.25
5/1/2007	\$23.00

Early Retirement
Full

None.

N/A.

Reduced

Age 55 with ten years of service.

Accrued benefit, reduced ½% per month before age 65.

Disability

Five years of service.

Accrued benefit, employee continues to accrue service until electing to receive benefit.

Vesting

Five years of service.

Accrued benefit payable at normal retirement date. Participants with at least 10 years of service at termination can commence before age 65. The accrued benefit is reduced ½% per month from age 65.

Plant Closing/Layoff

None.

N/A.

Preretirement
Spouse's Annuity

Five years of service.

½ of accrued benefit.

Normal Form
of Annuity

Actuarially reduced 50% J&S annuity if married, otherwise straight life.

Optional Forms of
Payment

Joint and Survivor: 50%, 66 ⅔%, 75%, and 100%.

These optional forms are based on the mortality table prescribed by Code Section 417(e)(3) and 6.00% interest.

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Plan Provisions - Kennecott

Effective Date	June 30, 1989.
Eligibility for Participation	<p>Any employee who is represented by a collective bargaining agreement, or was employed by a predecessor company before January 1, 1989.</p> <p>Participation is closed to new hires as of January 1, 2018.</p> <p>As of April 9, 2019, all participants who were part of the annuity contract purchase that occurred on April 2, 2019 are no longer participants under the plan. However, they are still included in the 2019 funding valuation since they were participants in the plan as of the valuation date.</p>
Normal Retirement Eligibility	Earlier of age 65 and fifth anniversary of employment, or age 70.
Total Benefit- Barney's Canyon	<p>A monthly benefit computed as the sum of:</p> <p>(1) \$35.00 for each year of credited service, up to 15 years plus</p> <p>(2) \$36.50 for each year of credited service in excess of 15 years, up to 30 years plus</p> <p>(3) \$38.00 for each year of credited service in excess of 30 years</p> <p>Effective January 1, 2015 (adopted December 19, 2014), the multiplier was increased to \$44 per year of benefit service for active Barney's Canyon employees retiring or terminating on or after January 1, 2015. Effective January 1, 2016, the multiplier was increased to \$47 per year of benefit service. After 1/1/2016, the multiplier for Barney's Canyon employees increases in accordance with the multiplier increases for all other locations. Note, the Barney's Canyon benefits are negotiated separately from the benefits for other locations.</p>
Total Benefit- Other Locations	<p>A monthly benefit equal to \$51.00 per year of credited service for retirements after 1/1/2020.</p> <p>The following table lists benefit level changes under the prior and current collective bargaining agreement:</p>

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Effective Date	Benefit Level
1/1/2010	\$42.00
1/1/2013	\$44.00
1/1/2016	\$47.00
4/1/2017	\$48.00
1/1/2018	\$49.00
1/1/2019	\$50.00
1/1/2020	\$51.00
1/1/2021	\$52.00

The benefit level applicable as of 1/1/2010 was applied retroactively to participants that retired or terminated between 7/1/2006 and 12/31/2009.

Early Retirement

Eligibility

Age 60 and 10 years of continuous service.

Total Benefit

The accrued normal retirement benefit multiplied by the appropriate age-based factor below:

Age	Factor	Age	Factor
65	1.00	59	0.88
64	1.00	58	0.84
63	1.00	57	0.80
62	1.00	56	0.76
61	0.96	55	0.72
60	0.92		

Early retirement reductions shall not apply if the participant meets any of the following eligibility criteria:

- 30 years of continuous service
- 60/30 retirement: age 60 and 30 years of continuous service
- 70/80 retirement: age 55 and age plus continuous service is at least 70, or age and continuous service is at least 80

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Supplement An early retirement supplement is offered to participants who retire under 60/30 retirement or 70/80 retirement in the following amounts:

- 60/30 retirement: \$400 per month supplement payable until the earlier of age 62, or when unreduced Social Security benefits begin, plus a \$170 per month supplement payable from age 62 to age 65
- 70/80 retirement: \$300 per month supplement payable until the earlier of age 62, or when unreduced Social Security benefits begin

Late Retirement Eligibility Retire after normal retirement date.

Total Benefit The normal retirement benefit accrued at the date of late retirement.

Disability Retirement Eligibility Total and permanent disability after completing 10 or more years of Continuous Service.

Total Benefit The accrued benefit based on service through the date of disability commencing after 5 months of permanent and total disability, plus a \$300 per month supplement payable until the earlier of age 62, or when unreduced Social Security benefits begin.

Vested Termination Eligibility 5 years of continuous service.

Total Benefit The normal retirement benefit accrued to date of termination commencing at age 65. The participant may elect for benefits to start at any time after age 60 with the benefit reduced according to the following table:

Age	Factor
65	1.00
64	0.96
63	0.92
62	0.88
61	0.84
60	0.80

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Death Benefits

Eligibility

5 years of continuous service.

Total Benefit

For an active participant, the benefit is an immediate annuity to the surviving spouse equal to 50% of the accrued normal retirement benefit.

For terminated vested participants, the benefit is a deferred annuity to the surviving spouse equal to 55% of the monthly benefit the participant would have been entitled to had he terminated employment on the date of his death, survived to early retirement age, elected the 55% J&S option, and then died the following day.

Normal Form of Benefit

Actuarially reduced 55% J&S annuity if married, otherwise straight life.

Optional Forms of Payment

50%, 75%, or 100% joint and survivor annuities.

Before April 1, 2018, these optional forms are based on the 1983 Group Annuity Mortality Table and 8.00% interest.

After April 1, 2018, these optional forms are based on the 417(e) Mortality Table and 6.00% interest.

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Plan Provisions - Borax

Effective Date	The Boron and Wilmington pension plans were effective October 1, 1963, and merged to form the Borax Hourly Pension Plan on December 31, 2010.
Eligibility for Participation	All regular full time Boron and Wilmington hourly employees.
Participation date	First of month following the completion of one year of service. Participation is closed to Boron Hourly employees as of May 17, 2010, and to Wilmington Hourly employees as of June 17, 2011. As of April 9, 2019, all participants who were part of the annuity contract purchase that occurred on April 2, 2019 are no longer participants under the plan. However, they are still included in the 2019 funding valuation since they were participants in the plan as of the valuation date.
Normal Retirement Eligibility	Age 65.
Total Benefit—Boron Hourly	A monthly benefit equal to \$75.00 per year of pensionable service.

There have been no benefit level changes in the past ten years. The following table lists future increases under the current Collective Bargaining Agreement:

Effective Date	Benefit Level
6/18/2021	\$76.00
6/18/2022	\$77.00
6/18/2023	\$78.00
6/18/2024	\$79.00
6/18/2025	\$80.00
6/18/2026	\$81.00
6/18/2027	\$82.00

The benefit levels effective 7/1/2021 and beyond are not reflected in the 2021 funding valuation since the increases were effective after the valuation date.

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Total Benefit—Wilmington Hourly

A monthly benefit equal to \$78.00 per year of pensionable service.

The following table lists all benefit level changes in the past ten years as well as future increases under the current Collective Bargaining Agreement:

Effective Date	Benefit Level
6/17/2011	\$75.00
6/17/2017	\$76.00
7/1/2018	\$77.00
7/1/2019	\$78.00
7/1/2020	\$79.00
7/1/2021	\$80.00

The benefit levels effective 7/1/2021 and beyond are not reflected in the 2021 funding valuation since the increases were effective after the valuation date.

Early Retirement
Eligibility

Age 55.

Total Benefit

The accrued normal retirement benefit multiplied by the appropriate age-based factor below:

Age	Factor	Age	Factor
65	1.00	59	0.88
64	1.00	58	0.84
63	1.00	57	0.80
62	1.00	56	0.76
61	0.96	55	0.72
60	0.92		

Late Retirement
Eligibility

After age 65.

Total Benefit

The retirement benefit accrued at the date of late retirement.

Disability Retirement
Eligibility

10 years of pensionable service.

Total Benefit

A monthly benefit equal to 15% of Final Average Earnings, increased by 1% of Final Average Earnings for each year of pensionable service in excess of 15, not to exceed 25.

The benefit is reduced by workers' compensation and 50% of any Social Security benefits. The benefit is not payable

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while the participant is eligible for the company's Long Term Disability plan.

Vested Termination
Eligibility

Earlier of age 55 or 5 years of vesting service.

Total Benefit

The normal retirement benefit at date of termination, commencing at age 65. The participant may elect for benefits to start as early as age 55, with benefits reduced based on actuarial reduction factors.

Preretirement Death
Eligibility

For members with a surviving spouse, 5 years of vesting service.

Any participant with 15 years of vesting service that does not have a surviving spouse shall have a death benefit payable to the dependent child(ren).

Spouse's Total Benefit

For an active participant age 55 or older with at least 25 years of service, the benefit is an immediate annuity to the surviving spouse equal to 50% of the accrued normal retirement benefit.

For all other vested participants, the benefit is a deferred annuity to the surviving spouse equal to 50% of the monthly benefit the participant would have been entitled to had he terminated employment on the date of his death, survived to early retirement age, elected the 50% J&S option, and then died the following day.

Beneficiaries' Total Benefit

An immediate annuity to the dependent child(ren) equal to 50% of the accrued normal retirement benefit payable until the earlier of the dependent child's 21st birthday, marriage or first date of employment.

Normal Form of Benefit

50% J&S annuity if married, otherwise straight life annuity.

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Optional Forms of Payment

A retiring participant may also elect other optional forms of payment on an actuarially equivalent basis. These options include:

- life annuity,
- 50%, 66 $\frac{2}{3}$ %, 75%, or 100% joint and survivor annuities,
- 5, 10, or 15 year certain and life annuities, and
- level income option for retirement prior to commencement of Social Security benefits.

Before April 1, 2018, these optional forms are based on the 1971 Group Annuity Male Mortality Table and 5.00% interest.

After April 1, 2018, these optional forms are based on the 417(e) Mortality Table and 6.00% interest.

Definitions

Pensionable Service

Measured from the date the employee meets the eligibility requirements of the plan, or from date of hire after completing five years of vesting service.

Vesting Service

A year of vesting service is earned for any year in which an employee has 1,000 hours of service or more. A fractional year is granted equal to the number of hours worked divided by 1,000.

Final Average Earnings

A participant's average annual earnings for the highest five consecutive calendar years within the last ten consecutive calendar years preceding retirement or termination.

Earnings

Gross annual earnings, absence pay, holiday pay, premium payments (exclusive of bonuses), directors' fees, vehicle allowances, repayment of expenses, insurance payments, and 401(k) and cafeteria plan deferrals.

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Rio Tinto America Inc. Retirement Plan
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Plan Changes Since the Prior Year

The funding valuation reflects the following plan changes:

- A change in the mortality basis for lump sum payments from the 2020 plan year IRC section 417(e)(3) mortality table to the 2021 plan year IRC section 417(e)(3) mortality table.
- The compensation limit under Section 401(a)(17) of the Internal Revenue Code changed from \$285,000 to \$290,000.
- The Borax and Kennecott Plan was merged into the RTA Plan, effective December 31, 2020.
- Effective January 1, 2021, the benefits for Kennecott participants who are active in the Legacy-Kennecott Hourly plan on that date increased to \$52.00 times all years of service.
- Effective July 1, 2020, the benefits for Wilmington participants who are active in the Legacy-Borax Hourly plan on that date increased to \$79.00 times all years of service and increase an additional \$1 each year through 2022.

Other Information to Fully and Fairly Disclose the Actuarial Position of the Plan

Due to software limitations with the electronic filing process, information filed electronically cannot be controlled by the Enrolled Actuary. The values on the signed Schedule SB will govern to the extent there are any differences in the entries filed electronically and the actual data contained on the signed Schedule SB.

Under the American Rescue Plan Act of 2021 (ARPA), the stabilized interest rates for certain purposes will be adjusted once the ARPA stabilization is applied. By default, this stabilization would have applied starting with the 2020 plan year. Additionally, the shortfall amortization period will be adjusted from 7 years to 15 years and eliminate all prior shortfall bases once applied.

On August 12, 2021, Rio Tinto America Inc. made an explicit election not to apply the ARPA interest rate stabilization (for any purposes) to the Rio Tinto America Inc. Retirement Plan for the 2020 plan year. Therefore, the ARPA interest rate stabilization applies for the first day of the 2021 plan year. Rio Tinto America Inc. additionally made an election on that date to apply the extended shortfall amortization period under ARPA starting with the 2021 plan year. Therefore, this Schedule SB reflects the extended shortfall amortization period and the stabilized 2021 minimum funding interest rates with regard to ARPA.

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Rio Tinto America Inc. Retirement Plan
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Schedule SB, line 24—Change in Actuarial Assumptions

The funding valuation reflects the following assumption changes:

- A change in the assumed combined expenses payable from the trust from \$4,223,520 (\$2,844,066 for RTA, \$418,653 for Borax, and \$960,801 for Kennecott) to \$3,827,495.
- A change in the funding asset return assumption from 4.90% for 2020 to 4.10% for 2021.
- A change in the salary scale assumption from 3.50% to 3.60%, and a change in the future wage indices from 2.50% to 2.60%.

These changes were made to better reflect anticipated plan experience. The non-prescribed assumption changes did not reduce the funding shortfall by more than \$5 million; as such, approval of the Commissioner is not required.

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
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Schedule SB, line 26—Schedule of Active Participant Data as of January 1, 2021

**Schedule SB, Line 26—Schedule of Active Participant Data
As of January 1, 2021**

**Rio Tinto
Rio Tinto America Inc. Retirement Plan
Legacy RTA and Alcan Active Employees**

EIN: 11-3359689 PN: 001

Number of Participants, Average Compensation and Average Cash Balance Account

Attained Age	Years of Credited Service									
	<1	1-4	5-9	10-14	15-19	20-24	25-29	30-34	35-39	40+
<25										
25-29										
30-34					1					
35-39	6	4		3	2					
40-44	6	18	3	3	9					
45-49	3	23 \$175,526 \$3,095	4	6	16	1				
50-54	2	12	5	9	20 \$141,958 \$29,316	1		1		
55-59	1	6	5	8	17	3	2	2	3	
60-64	2	3	9	5	31 \$146,842 \$104,384	4	4		2	6
65-69		2	2	1	4	3	1			1
70+			2		2	1		1		

N-291

Note: The average cash balance account shown is an average of the cash balance accounts for all plan participants, including those with a balance of \$0.

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Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

**Schedule SB, Line 26—Schedule of Active Participant Data
As of January 1, 2021**

**Rio Tinto
Rio Tinto America Inc. Retirement Plan
Legacy Kennecott Active Employees
EIN: 11-3359689 PN: 001**

Attained Age	Number of Participants Years of Credited Service									
	<1	1-4	5-9	10-14	15-19	20-24	25-29	30-34	35-39	40+
<25	1	10								
25-29	2	43	5							
30-34	3	48	38	10						
35-39	3	47	70	59	14					
40-44	4	50	66	70	29	12	1			
45-49	2	30	46	53	35	33	16	1		
50-54		38	52	40	20	38	25	2		
55-59		20	36	36	15	22	20	2	2	
60-64		10	19	16	15	18	11	7	13	9
65-69		2	2	6	3	6	2	1	2	9
70+				1						

N-1321

Note: Current compensation data was not included since current compensation is not taken into account under the plan's benefit formula.

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

**Schedule SB, Line 26—Schedule of Active Participant Data
As of January 1, 2021**

**Rio Tinto
Rio Tinto America Inc. Retirement Plan
Legacy Borax Active Employees
EIN: 11-3359689 PN: 001**

Attained Age	Number of Participants									
	Years of Credited Service									
	<1	1-4	5-9	10-14	15-19	20-24	25-29	30-34	35-39	40+
<25										
25-29										
30-34		1	1	8						
35-39		3	4	10	6					
40-44	1	7	6	21	9	4				
45-49	2	2	7	10	9	12	5			
50-54		4	3	14	5	18	6	2		
55-59	1	4	2	8	12	16	4	6	4	2
60-64	1	1	1	13	8	13	9	3	6	23
65-69		1			4	1			1	4
70+										1

N-329

Note: Current compensation data was not included since current compensation is not taken into account under the plan's benefit formula.

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Rio Tinto America Inc. Retirement Plan
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Schedule SB, line 32—Schedule of Amortization Bases

Type of Base	Present Value of Installments	Valuation Date Established	Remaining Years in Amortization Period	Amortization Amount
Shortfall	\$25,976,517	January 1, 2021	15	\$2,422,092

Under the American Rescue Plan Act of 2021 (ARPA), the shortfall relief wipes out existing shortfall amortization bases and changes the amortization period. By default, this relief would have applied starting with the 2022 plan year. This Schedule SB reflects the ARPA shortfall relief effective with the 2021 plan year, per the election made by Rio Tinto America Inc. made on August 12, 2021.

Rio Tinto America Inc. Retirement Plan

Schedule G, Part III - Schedule of Non-Exempt Transactions - For the Year Ended December 31, 2021

EIN: 11-3359689
Plan Number: 001

(a)	(b)	(c)	(g)					
Identity of Party Involved	Relationship to Plan, Employer or Other Party-in-Interest	Description of Transaction Including Maturity Date, Rate of Interest, Collateral, par or Maturity Value	Transaction Expense	Amount of Earnings	Total Transaction	Date of Principal Correction	Date of Earnings Correction	
* State Street Trust Co	Custodian	Overpayment of custodial fees on November 26, 2019	\$ 9,942	\$ 368	\$ 10,310	April 30, 2020	September 10, 2021	

* A party-in-interest as defined by ERISA.

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Schedule SB, line 7—Explanation of Discrepancy in Prior Year Funding Standard
Carryover Balance or Prefunding Balance

The January 1, 2021 funding valuation reflects the merger of the U.S. Borax Inc. Retirement Plan for Represented Employees and the Kennecott Utah Copper Pension Plan for Represented Hourly Employees into the Rio Tinto America Inc. Retirement Plan as of December 31, 2020.

As a result, the balances shown on line 7 reflect the sum of the balances of the previous plans:

	Carryover Balance	Prefunding Balance
U.S. Borax Inc. Retirement Plan for Represented Employees (EIN: 98-0047580, PN: 002)	\$0	\$27,902,995
Kennecott Utah Copper Pension Plan for Represented Hourly Employees (EIN: 13-3108078, PN: 202)	0	41,878,054
Rio Tinto America Inc. Retirement Plan (EIN: 11-3359689, PN: 001)	<u>0</u>	<u>169,524,579</u>
Total	\$0	\$239,305,628

The amounts shown on lines 8-13 reflect the sum of the amounts for each of the plans that were merged on 12/31/2020. The interest rate shown on lines 10 and 11(b) is the interest rate for the Rio Tinto America Inc. Retirement Plan (EIN: 11-3359689, PN: 001). The interest rates for the U.S. Borax Inc. Retirement Plan for Represented Employees (EIN: 98-0047580, PN: 002) and the Kennecott Utah Copper Pension Plan for Represented Hourly Employees (EIN: 13-3108078, PN: 202) are different. As such, the interest amounts on lines 10 and 11 are the sum of the interest amounts for all plans.

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Schedule SB, line 22—Description of Weighted Average Retirement Age

Weighted Average Retirement Age:

Legacy Plan	Number of Participants Exposed	Weighted Average Retirement Age
RTA and Alcan	263	62.28
Borax	310	62.51
Kennecott	1,303	63.81
Total	1,876	63.38

Below are the descriptions for the individual weighted average retirement ages for each of the legacy plans.

Legacy Rio Tinto America and Rio Tinto Alcan (U.S.) plans

The average retirement age has been calculated by assuming the following retirement rates and no decrements other than retirement for this calculation. All retirements are assumed to occur at mid-year, except for the 100% retirement age.

(a) Age	(b) Rate	(c) Weight	(d) Product (a) × (b) × (c)
55.5	10.00%	1.0000	5.55
56.5	5.00%	0.9000	2.54
57.5	5.00%	0.8550	2.46
58.5	5.00%	0.8123	2.38
59.5	5.00%	0.7716	2.30
60.5	10.00%	0.7331	4.43
61.5	10.00%	0.6598	4.06
62.5	25.00%	0.5938	9.28
63.5	15.00%	0.4453	4.24
64.5	15.00%	0.3785	3.66
65.5	50.00%	0.3218	10.54
66.5	50.00%	0.1609	5.35
67.5	50.00%	0.0804	2.71
68.5	50.00%	0.0402	1.38
69.5	50.00%	0.0201	0.70
70	100.00%	0.0101	0.70
Weighted Average			62.28

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Legacy Borax Hourly plan

The average retirement age has been calculated by assuming the following retirement rates and no decrements other than retirement for this calculation. All retirements are assumed to occur at mid-year, except for the 100% retirement age.

(a) Age	(b) Rate	(c) Weight	(d) Product (a) × (b) × (c)
55.5	2.00%	1.0000	1.11
56.5	2.00%	0.9800	1.11
57.5	5.00%	0.9604	2.76
58.5	5.00%	0.9124	2.67
59.5	10.00%	0.8668	5.16
60.5	10.00%	0.7801	4.72
61.5	10.00%	0.7021	4.32
62.5	40.00%	0.6319	15.80
63.5	25.00%	0.3791	6.02
64.5	10.00%	0.2843	1.83
65.5	50.00%	0.2559	8.38
66.5	50.00%	0.1280	4.25
67.5	50.00%	0.0640	2.16
68.5	50.00%	0.0320	1.10
69.5	50.00%	0.0160	0.56
70	100.00%	0.0080	0.56
Weighted Average			62.51

Legacy Kennecott Utah Copper Hourly plan

The retirement decrement rates at each age depend on age and service. The rates that apply at each age are summarized below:

Retirement rates are 3% at the earliest retirement eligible age (Age + Service = 70, or Service = 30), 25% at ages 65-67 (ages 60-67 for those with at least 30 years of service), 50% at ages 68-69, and 100% at age 70, resulting in a weighted average retirement age of 63.81.

In calculating the weighted average retirement age, the weight applied to each age is (a)/(b), where (a) and (b) are defined as follows:

- (a) The number of participants expected to retire at the retirement age to which the weight is being applied. The number of participants expected to retire is estimated by applying the assumed retirement decrement rates to the current active population at that age.
- (b) The total number of participants expected to retire. The number of participants expected to retire is estimated by applying the assumed retirement decrement rates to the current active population.

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Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Schedule SB, Part V—Summary of Plan Provisions

Plan Provisions—Legacy RTA Plan

Effective Date January 1, 2003.

Date of Participation First day of the month after completing one year of service. Participation is closed to new entrants as of April 1, 2007. Participants who were active in the RTA plan at that time were given the option to either stay in the RTA plan or transfer to the Investment Partnership Plan (IPP) as of September 30, 2007.

As of October 1, 2012, Cleveland Salaried employees that were participants in the AlcanCorp Pension Plan before 2012 began accruing in the RTA Plan. Benefits in the RTA Plan are calculated using pay and service earned after the date of transfer into the RTA Plan. However, participants receive vesting service from date of hire.

As of January 1, 2013, all remaining active PPPI, active Cable, and LTD participants in the AlcanCorp Pension Plan began accruing in the RTA Plan. Benefits in the RTA Plan are calculated using pay and service earned after the date of transfer into the RTA Plan. However, participants receive vesting service from date of hire.

As of January 1, 2015, active participants who are rehired into the IPP with a break in service of less than five years are eligible to receive pay increases to their RTA Plan benefit, even if they did not choose to transfer to the IPP in 2007.

As of November 6, 2017, all participants who were part of the annuity contract purchase that occurred on October 31, 2017 are no longer participants under the plan.

As of April 9, 2019, all participants who were part of the annuity contract purchase that occurred on April 2, 2019 are no longer participants under the plan.

As of December 31, 2019, all participants who were part of the Alcan plan were merged into the RTA plan.

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Normal Retirement

Eligibility Age 65.

Total Benefit (a) For service before January 1, 2003:

See supplements.

(b) For service after December 31, 2002:

A monthly benefit equal to (i) plus (ii) below, multiplied by Benefit Service:

(i) 1% of Final Average Earnings up to Social Security Covered Compensation.

(ii) 1.667% of Final Average Earnings in excess of Social Security Covered Compensation.

Compensation Update

Former AlcanCorp Pension Plan participants also receive a compensation update on their frozen benefit from the AlcanCorp Pension Plan. The compensation update is payable from the RTA Plan. The compensation update is equal to the percentage increase of the Final Average Earnings over the participant's Highest Average Earnings used to calculate the frozen benefit payable from the AlcanCorp Pension Plan, multiplied by the frozen benefit payable from the AlcanCorp Pension Plan. The compensation update has a minimum value of \$0 and is added to the Normal Retirement Benefit accrued under the RTA Plan as described above.

Early Retirement

Eligibility Age 55 and five years of Vesting Service.

Total Benefit Termination before age 55 or before completing 10 years of Vesting Service.

The accrued normal retirement benefit multiplied by the appropriate age-based factor below:

<u>Age</u>	<u>Factor</u>	<u>Age</u>	<u>Factor</u>
65	1.00	59	0.76
64	0.96	58	0.72
63	0.92	57	0.68
62	0.88	56	0.64
61	0.84	55	0.60
60	0.80		

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Termination after age 55 and after completing 10 years of Vesting Service:

The accrued normal retirement benefit multiplied by the appropriate age-based factor below:

<u>Age</u>	<u>Factor</u>	<u>Age</u>	<u>Factor</u>
65	1.00	59	0.88
64	1.00	58	0.84
63	1.00	57	0.80
62	1.00	56	0.76
61	0.96	55	0.72
60	0.92		

Late Retirement
Eligibility

Retire after normal retirement date.

Total Benefit

The normal retirement benefit accrued at the date of late retirement.

Disability Retirement for Non-Luzenac Hourly Employees

Eligibility

Five years of Vesting Service.

Total Benefit

The normal retirement benefit, calculated using Benefit Service that continues to accrue during disability leave, multiplied by the appropriate early retirement factor from the tables above.

Disability Retirement for Luzenac Hourly Employees

Eligibility

Ten years of Vesting Service.

Total Benefit

A monthly benefit equal to the greater of (a) or (b) below:

(a) The normal retirement benefit as of this date of disability,
or

(b) \$500.

Vested Termination

Eligibility

Five years of Vesting Service or age 65.

Total Benefit

The normal retirement benefit accrued at termination, commencing at age 65. The participant may elect for benefits to start after age 55, with benefits reduced by the early retirement factors for retirement with less than 10 years of service.

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Preretirement Death
Eligibility

Five years of Vesting Service.

Total Benefit

For a married participant, the surviving spouse receives 50% of the participant's accrued benefit, payable as an immediate life annuity.

For a single participant with a trust beneficiary, the trust receives lump sum equal to the actuarial equivalent of 50% of the participant's accrued benefit.

For a single participant with a non-trust beneficiary, the beneficiary receives the actuarial equivalent of 50% of the participant's accrued benefit, payable as a 60-month temporary life annuity.

Normal Form of Benefit

50% J&S annuity if married, otherwise a life annuity.

For married participants, if the spouse pre-deceases the participant, payments will continue to the participant in the amount equal to what the participant would have received at retirement had the participant elected a single life annuity.

Optional Forms of Payment

A retiring participant may also elect other optional forms of payment on an actuarially equivalent basis. These options include:

- life annuity,
- 50%, 75%, or 100% joint and survivor annuities,
- 5, 10, or 15 year certain and life annuities,
- level income option for retirement prior to commencement of Social Security benefits, and
- lump sum, if monthly benefit is \$100 or less.

Before April 1, 2018, these optional forms are based on the 1971 Group Annuity Male Mortality Table and 5.00% interest.

After April 1, 2018, these optional forms are based on the 417(e) Mortality Table and 6.00% interest.

Employee Contributions

None required or permitted.

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Definitions

Benefit Service	Elapsed service from the later of January 1, 2003 and date of hire, excluding periods while a participant is on a leave of absence. Benefit Service is frozen as of September 30, 2007 for those participants who chose to transfer into the IPP.
Vesting Service	All service from date of hire. Includes periods while a participant is on a leave of absence.
Final Average Earnings	Average of the highest Eligible Earnings in the 36 consecutive months out of the last 120 months of service. Final Average Earnings is not frozen for those participants who chose to transfer to the IPP, nor for those participants who were rehired into the IPP with a break in service of less than five years.
Eligible Earnings	Base pay and 50% of any short-term bonus. Base pay means total earnings including deferred base pay, lump sum merit pay, pre-tax 401(k) or cafeteria plan contributions, but excluding overtime, severance pay, bonuses, and extraordinary items.
Social Security Covered Compensation	The average amount of earnings under the Social Security Act equal to the average of the maximum Taxable Wage Base in each year that would be used to calculate the Social Security benefit for a participant retiring at his Social Security Retirement Age.
Highest Average Earnings	A participant's annual Earnings for the highest three consecutive calendar years ending at least three months before normal retirement or earlier termination, divided by 35.
Earnings	Regular base pay, incentive program pay, overtime and other premium pay, certain lump sum payments payable in lieu of salary or wage increases, pay under any plan of variable compensation and 401(k), Section 125 and Section 132(f)(4) deferrals.

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U.S. Borax Supplement

Participation

These plan provisions apply to participants who were employees of U.S. Borax Inc. prior to January 1, 2003.

Normal Retirement

Eligibility

Age 65.

Total Benefit

A monthly benefit equal to (i) plus (ii) below, multiplied by Pensionable Service after July 1, 1974.

(i) 1% of Final Average Earnings up to Social Security Covered Compensation.

(ii) 1.667% of Final Average Earnings in excess of Social Security Covered Compensation.

Prior plan benefit applies to service before July 1, 1974.

Minimum monthly benefit equal to \$72.00 times all years of service.

Early Retirement

Eligibility

Age 55.

Benefit

Normal retirement benefit reduced by the early retirement factors above for retirement with more than 10 years of service.

Definitions

Pensionable Service

All service after one year of service or from date of hire after five years of service, but not beyond December 31, 2002. May include periods during which a participant is on a leave of absence.

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Final Average Earnings

Average of the highest earnings in the 36 consecutive months out of the last 120 months of service. Final Average Earnings was not frozen as of December 31, 2002.

Earnings include:

- Base pay.
- 50% of short-term bonuses paid during 36-month period.
- Overtime pay for the three consecutive calendar years ending before 2003 with the highest overtime pay (if employment terminates prior to 12/31/2007).
- Up to 520 hours of vacation pay for vacation earned but not taken (if employment terminates prior to 12/31/2009).

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Luzenac Supplement

Participation

These plan provisions apply to salaried participants' periods of employment with Luzenac America, Inc. prior to January 1, 2003.

Normal Retirement

Eligibility

Age 65 and five years of service.

Total Benefit

A monthly benefit equal to the sum of (a), (b), and (c), but not less than (d), below:

(a) 1.20% of Final Average Earnings up to Social Security Covered Compensation multiplied by years of Benefit Service, not to exceed 35 years.

(b) 1.65% of Final Average Earnings in excess of Social Security Covered Compensation, multiplied by Benefit Service, not to exceed 35 years.

(c) 1.50% of Final Average Earnings multiplied by Benefit Service in excess of 35 years.

(d) \$40 multiplied by all years of service.

Early Retirement

Eligibility

Age 55 and 10 years of service.

Benefit

The accrued normal retirement benefit multiplied by the appropriate age-based factor below:

<u>Age</u>	<u>Factor</u>	<u>Age</u>	<u>Factor</u>
65	1.00	59	0.85
64	1.00	58	0.80
63	1.00	57	0.75
62	1.00	56	0.70
61	0.95	55	0.65
60	0.90		

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Definitions

Benefit Service	Elapsed time from date of employment, ending on December 31, 2002.
Final Average Earnings	Average of the highest earnings during the 60 consecutive months during the 120 months of service preceding termination or retirement. Final Average Earnings was not frozen as of December 31, 2002.
Eligible Earnings	Base pay and 50% of any short-term bonus. Base pay means total earnings including deferred base pay, lump sum merit pay, pre-tax 401(k) or cafeteria plan contributions, but excluding overtime, severance pay, bonuses, and extraordinary items.

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Kennecott Supplement

Participation	These plan provisions apply to participants who were employees of Kennecott Corporation prior to January 1, 2003.
Normal Retirement	
Eligibility	Age 65.
Total Benefit	The actuarial equivalent of the opening and current account balances.
Early Retirement	
Eligibility	Age 55 and 10 years of service.
Benefit	The actuarial equivalent of the opening and current account balances.
Accounts and Credits to Accounts	
Opening Account	For all participants who were active as of January 1, 1989, an opening account balance was established based on benefits accrued under prior plans.
Current Account	<p>A current account was established for each participant as of the later of (i) January 1, 1989 or (ii) the date the participant first becomes eligible for the plan.</p> <p>At the end of each calendar month, pay-related credits are added to the current account. No pay-related credits are granted after December 31, 2002.</p>
Regular Interest Credits	Regular interest credits are added to all accounts at an effective annual rate equal to the greater of (i) 5%, or (ii) the average (rounded to the nearest one-hundredth of one percent) of the one-year Treasury bill rates in effect during each month of the 12-month period ending on November 30 of the preceding calendar year, rounded up to the nearest one-quarter of one percent, plus one percent.
Supplemental Interest Credits	An additional supplemental interest credit at a rate equal to one-half of the regular interest rate applies to the opening account prior to termination of employment. Effective January 1, 2016, the supplemental interest credit is no longer granted.

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Legacy Alcan Pension Plan Provisions

Plan History

Following is a description of significant events that have occurred within the past ten years.

Effective December 31, 2011, all benefit accruals are frozen for certain Cable unit employees. Benefit Service and Social Security Covered Compensation are frozen as of December 31, 2011. Highest Average Earnings shall not include earnings during 2011 or any subsequent years. Members who are affected are “Non-Grandfathered Cable Unit Members” and include participating employees that do not meet the following criteria:

- age 45 and ten years of Benefit Service, or;
- age 55 and nine years of Benefit Service or ten years of Eligibility Service.

All other Cable unit employees are “Grandfathered Cable Unit Members” and continue to accrue benefits. This includes any Cable unit employee on long-term disability or severance.

Effective December 31, 2011, all benefit accruals under the AlcanCorp Plan formula are frozen for Salaried Sebree and Cleveland employees. These participants start to accrue benefits under the Rio Tinto America Plan formula for service after December 31, 2011. The December 31, 2011 frozen benefit is increased by the percentage increase of the Final Average Earnings (as defined under the Rio Tinto America formula), over the participant’s Highest Average Earnings (as defined under the AlcanCorp formula) at December 31, 2011.

Effective December 31, 2011, any PPPI employee who was a participant of the Alcan Combined Pension Plan as of December 31, 2011 shall become a participant of the AlcanCorp Pension Plan as of January 1, 2012. For these participants, the benefit payable from the AlcanCorp Pension Plan is equal to the benefit accrued under the Alcan Combined formula using all years of service and pay prior to termination, and offset by the benefit accrued under the Alcan Combined formula as of December 31, 2011.

The Specialty Aluminas business unit was sold in August 2012 and the Cable business unit was sold on September 4, 2012. For participants with ongoing accruals, any accruals in the plan have ceased as of the date of sale. Any participants that were terminated as a result of the sales with less than five years of service have been vested in their benefit. Participants that were on LTD at the time of the sale will continue to earn future service accruals from the AlcanCorp Pension Plan.

As of September 30, 2012, accruals for Cleveland participants were frozen in the AlcanCorp Pension Plan. These participants transferred to the Rio Tinto America Plan on October 1, 2012. The Rio Tinto America Plan provides future accruals and pay growth on the past service frozen benefit from the AlcanCorp Plan.

Any remaining Cable, PPPI and LTD participants in the AlcanCorp Pension Plan as of December 31, 2012 have transferred to the Rio Tinto America Plan. Accruals in the AlcanCorp Pension Plan have ceased as of December 31, 2012 for these participants. The Rio Tinto America Plan provides future accruals and pay growth on the past service benefit from the AlcanCorp Plan, as applicable.

As of July 1, 2013, accruals were frozen for all remaining participants.

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Effective December 31, 2013, the Alcan Combined Pension Plan was merged into the AlcanCorp Pension Plan, and the merged plan was renamed the Rio Tinto Alcan Pension Plan (U.S.). The January 1, 2014 funding valuation reflects the benefit liabilities and plan assets of the Alcan Combined Pension Plan that merged into the Rio Tinto Alcan Pension Plan (U.S.) on December 31, 2013.

As of November 6, 2017, all participants who were part of the annuity contract purchase that occurred on October 31, 2017 are no longer participants under the plan.

As of August 6, 2018, all participants who were part of the annuity contract purchase that occurred on August 1, 2018 are no longer participants under the plan.

Effective April 1, 2018, the plan's actuarial equivalence definition was changed for the non-legacy PPPI groups to 6.00% interest and the 417(e) Mortality Table.

Effective December 31, 2019, the Alcan plan was merged into the RTA plan.

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Plan Provisions – Legacy AlcanCorp Pension Plan

Effective Date	July 1, 1964
Effective Date of Most Recent Amendment	January 1, 2014; provides for a one-time lump sum offer for terminated vested participants terminated prior to January 1, 2014.
Participants Accruing Under Formula	<p>As of January 1, 2012: Active Cable, Sebree Salaried and Cleveland Salaried employees that were AlcanCorp Pension Plan Participants before 2012. Plan provisions below are for the pre-2012 accrued benefit for this group.</p> <p>As of September 4, 2012: The Specialty Aluminas and Cable business units were sold. Accruals for this group are frozen in the AlcanCorp Pension Plan.</p> <p>As of September 30, 2012: Cleveland Salaried employees transferred to the Rio Tinto America Plan. Accruals for this group are frozen in the AlcanCorp Pension Plan.</p> <p>As of December 31, 2012: Accruals for any remaining PPPI, Cable and LTD participants cease. These participants accrue in the Rio Tinto America Plan for post-2012 service.</p> <p>Inactive AlcanCorp Pension Plan participants that were former Cleveland Hourly, Mt. Vernon Hourly, Pharma Hourly, Pharma Salaried or Pechiney Cast Plate Salaried and Hourly employees have accrued benefits under the terms of the respective legacy plan.</p> <p>As of July 1, 2013: Accruals are frozen for all remaining ACPP participants.</p>
Participation	<p>All regular full time employees who are not represented by a collective bargaining agreement</p> <p>Other employees are eligible after completing a 12-month period of employment in which the employee has 1,000 hours of service or more</p> <p>Participation is closed to new hires as of January 1, 2012</p>

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Freeze Dates

Benefit accruals are frozen for non-grandfathered Cable participants effective December 31, 2011

Benefit accruals under the AlcanCorp formula are frozen for Sebree and Cleveland Salaried participants effective December 31, 2011, but are increased by the percentage increase of the Final Average Earnings (as defined under the Rio Tinto America formula), over the participant's Highest Average Earnings at December 31, 2011 (as defined under the AlcanCorp formula). These participants accrue under the Rio Tinto America Plan formula for post-2011 benefit service.

All benefit accruals from the AlcanCorp Pension Plan are frozen for Cleveland participants effective September 30, 2012.

Benefit accruals for all remaining AlcanCorp Pension Plan participants are frozen effective July 1, 2013.

Date of Participation

First of month following date of hire for regular full time employees

Normal Retirement
Eligibility

Age 65 and five years of Eligibility Service

Total Benefit

A monthly benefit equal to (a) plus (b) plus (c) below:

- (a) 45% of Highest Average Earnings
- (b) 15% of Highest Average Earnings in excess of the Social Security Covered Compensation
- (c) 0.25% of Highest Average Earnings times the number of Unused Months

If the participant has fewer than 35 years of Benefit Service, then the monthly benefit amount will be multiplied by the participant's Benefit Service and divided by 35

Accrued Benefit "Ratchet"

In no event will the total benefit amount above be less than the total benefit calculated as of any prior March 1

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Frozen Sebree and Cleveland Benefit

The benefit under the AlcanCorp formula for Sebree and Cleveland participants is determined as the greater of (a) and (b) below:

(a) Accrued benefit as of December 31, 2011 using Benefit Service and Highest Average Earnings as of December 31, 2011 (*based on Earnings through December 31, 2010*), plus the Highest Average Earnings make-up (Part (c) above), increased by the percentage increase of the Final Average Earnings under the Rio Tinto formula at termination over the Highest Average Earnings at December 31, 2011, if any.

(b) Accrued benefit as of December 31, 2011 using Benefit Service and Highest Average Earnings as of December 31, 2011 (*based on Earnings through December 31, 2011*), increased by the percentage increase of the Final Average Earnings under the Rio Tinto formula at termination over the Highest Average Earnings at December 31, 2011, if any.

Prior Plan Offsets

If Benefit Service includes service from other company sources and the prior plan benefit is not payable from the AlcanCorp Trust, the total benefit amount above is offset by any such benefit. The offset amount cannot exceed the benefit amount that would be accrued had only Benefit Service giving rise to the offset were used in determining the total benefit.

Early Retirement
Eligibility

Age 55 and five years of Eligibility Service, or when age plus Eligibility Service is at least 75

Total Benefit

The accrued normal retirement benefit multiplied by the appropriate age-based factor below:

Age	Factor
65	1.00
64	0.99
63	0.97
62	0.94
61	0.90
Below 60	In steps of .04

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Late Retirement Eligibility	After age 65 with five years of Eligibility Service
Total Benefit	The normal retirement benefit actuarially increased beyond the normal retirement date.
Vested Termination Eligibility	Five years of Eligibility Service
Total Benefit	The normal retirement benefit accrued at date of termination, commencing at age 65. The participant may elect for benefits to start before age 65, with benefits reduced by the early retirement reduction factors above.
Cable and Specialty Aluminas	Any Cable and Specialty Aluminas participants affected by the sales are immediately vested in their benefit
All active participants	All remaining active participants as of July 1, 2013 are immediately vested as a result of the plan freeze
Preretirement Death Eligibility	Any vested participant or participant eligible for early retirement, and married to an eligible spouse
Total Benefit	<p>For a participant who is eligible for early or normal retirement, the benefit is an immediate annuity to the surviving spouse equal to 50% of the monthly benefit the participant would have been entitled to had he retired the day before his death and elected the 50% J&S option.</p> <p>For all other vested participants, the benefit is a deferred annuity to the surviving spouse equal to 50% of the monthly benefit that the participant would have been entitled to had he terminated employment on the date of his death, survived to the earliest retirement age, elected the 50% J&S option, and then died the following day.</p>
Disability Retirement Eligibility	Eligible for a medical leave of absence
Total Benefit	The normal retirement benefit, computed using Benefit Service that continues to accrue during disability leave

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Normal Form of Benefit	50% J&S annuity if married, otherwise 5 year certain and life annuity. For married participants, the normal form of benefit is actuarially reduced if the spouse is 10 years younger
Optional Forms of Payment	<p>A retiring participant may also elect other optional forms of payment on an actuarially equivalent basis. The options include:</p> <ul style="list-style-type: none">▪ Full Benefit Joint and Survivor Annuity: Payable for life of participant with an amount less than 50% payable to the spouse upon the participant's death. Only available if spouse is more than 10 years younger. The participant's benefit is not reduced for payment form.▪ Continuing Income Joint and Survivor Annuity: Payable for life of participant with a chosen percent (1-100%) payable to the beneficiary upon the participant's death.▪ A level income option for retirement prior to commencement of Social Security benefits.▪ Lump sum if monthly retirement benefit is less than \$100.▪ Participants with accrued benefits from prior plans may have different optional forms <p>Most optional forms are based on the 417(e) Mortality Table and 6.00% interest. Certain prior plans use different actuarial equivalence for benefits accrued in those plans.</p>
Benefit Limits	Effective January 1, 2002, EGTRRA increased the Internal Revenue Code section 415 limit to \$160,000 and the limit on compensation to \$200,000. The \$200,000 pay limit was applied retroactively for participants who were active as of January 1, 2002.
Definitions Eligibility Service	All aggregated periods of service based on the elapsed time method, as allowable by law. Partial years are rounded to the next higher whole number of years.
Benefit Service	Includes full years and completed months of service included in Eligibility Service. Excludes any period of service when the employee refused to make required

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contributions, and periods of service in certain affiliated companies for participants that transferred into the Plan.

Earnings

Regular base pay, incentive program pay, overtime and other premium pay, certain lump sum payments payable in lieu of salary or wage increases, pay under any plan of variable compensation and 401(k), Section 125 and Section 132(f)(4) deferrals

Highest Average Earnings

A participant's annual Earnings for the highest three consecutive calendar years ending at least three months before normal retirement or earlier termination, divided by 35

Social Security Covered Compensation

Average of the Social Security Tax Bases for the 35 year period beginning with the date in which Highest Average Earnings are calculated.

Unused Months

The number of months included in Benefit Service that cannot be included in the period used to determine Highest Average Earnings. The number of Unused Months is based on the date benefit service stops, according to the following table:

Date Benefit Service Stops	Unused Months
January 1	12
February 1	13
March 1	14
April 1	3
May 1	4
June 1	5
July 1	6
August 1	7
September 1	8
October 1	9
November 1	10
December 1	11

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Plan Provisions – Rio Tinto America Plan Formula

Participants Accruing Under Formula Sebree and Cleveland Salaried Participants that are active as of January 1, 2012 accrue their post-2011 benefit under the Rio Tinto America Plan formula

Accruals for Cleveland participants are frozen as of September 30, 2012 in the AlcanCorp Pension Plan

Normal Retirement
Eligibility

Age 65.

Total Benefit

A monthly benefit equal to (a) plus (b) below, multiplied by post-2011 Benefit Service:

(a) 1% of Final Average Earnings up to Social Security Covered Compensation.

(b) 1.667% of Final Average Earnings in excess of Social Security Covered Compensation.

Early Retirement
Total Benefit

For terminations after completion of 5 years of Eligibility Service, the accrued normal retirement benefit is multiplied by the appropriate age-based factor below:

<u>Age</u>	<u>Factor</u>	<u>Age</u>	<u>Factor</u>
65	1.00	59	0.76
64	0.96	58	0.72
63	0.92	57	0.68
62	0.88	56	0.64
61	0.84	55	0.60
60	0.80		

For terminations after completion of 10 years of Eligibility Service, the accrued normal retirement benefit is multiplied by the appropriate age-based factor below:

<u>Age</u>	<u>Factor</u>	<u>Age</u>	<u>Factor</u>
65	1.00	59	0.88
64	1.00	58	0.84
63	1.00	57	0.80
62	1.00	56	0.76
61	0.96	55	0.72
60	0.92		

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Vested Termination
Eligibility

Five years of Eligibility Service or age 65.

Total Benefit

The normal retirement benefit accrued at termination, commencing at age 65. The participant may elect for benefits to start after age 55, with benefits reduced by the early retirement factors for retirement with less than 10 years of service.

Normal Form of Benefit

50% J&S annuity if married, otherwise a life annuity.

Optional Forms of Payment

Sebree and Cleveland retiring participant may also elect other optional forms of payment on an actuarially equivalent basis. These options include:

- 50%, 66.67%, 75%, or 100% joint and survivor annuities,
- 5 year certain and life annuity,
- level income option for retirement prior to commencement of Social Security benefits, and
- lump sum, if monthly benefit is \$100 or less.

These optional forms are based on the mortality table prescribed by Code Section 417(e)(3) and 6.00% interest.

Definitions

Final Average Earnings

Average of the highest Eligible Earnings in the 36 consecutive months out of the last 120 months of service, excluding earnings before January 1, 2012 are not counted.

Eligible Earnings

Base pay and 50% of any short-term bonus.

Base pay means total earnings including deferred base pay, lump sum merit pay, pre-tax 401(k) or cafeteria plan contributions, but excluding overtime, severance pay, bonuses, and extraordinary items.

Social Security Covered Compensation

The average amount of earnings under the Social Security Act equal to the average of the maximum Taxable Wage Base in each year that would be used to calculate the Social Security benefit for a participant retiring at his Social Security Retirement Age.

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Plan Provisions – Alcan Combined Pension Plan Formula

Participants Accruing Under Formula	<p>PPPI participants that are active as of January 1, 2012</p> <p>Benefit payable from the AlcanCorp Pension Plan is equal to the benefit accrued under the Alcan Combined formula using all years of service and pay prior to termination, and offset by the benefit accrued under the Alcan Combined Pension Plan as of December 31, 2011.</p> <p>PPPI participants transferred to the Rio Tinto America Plan on January 1, 2012</p>
ANCG Offset for PPPI Employees Transferring from ANC	<p>Benefits payable from the Plan will be equal to the Total Benefit payable to a participant minus the portion of the benefit that will be paid by former ANC Plan #020.</p> <p>The ANCG portion of the benefit will be based on service with ANCG and the Highest Average Salary upon termination from PPPI. Highest Average Salary for the ANCG portion of the benefit is limited to an average of 5% increases from the ANCG Highest Average Salary at the time of participant transfer. Eligibility for benefits is based on combined service with PPPI and ANCG.</p>
Eligibility by Group	
Blue	<p>For Non-Cebal Tubes Americas Participants: Hired before January 1, 2005 and age plus service total was 50 or more as of December 31, 2006</p> <p>For Cebal Tubes Americas Participants: Hired before January 1, 2005 and age plus service total was 55 or more as of December 31, 2006</p>
Green	<p>Hired before January 1, 2005 and age plus service total is less than 50 for non-Cebal participants and less than 55 for Cebal participants as of December 31, 2006.</p>
Yellow	<p>Hired by Alcan on or after January 1, 2005.</p>
Orange	<p>Hired before January 1, 2005 and a former Lawson Mardon employee.</p>

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Normal Retirement—Blue Participants

Eligibility

Age 65.

Total Benefit

A monthly benefit equal to (a) reduced by (b), plus (c) below:

- (a) 1.5% of the Participant's Highest Average Salary times Service not in excess of 35 years.
- (b) 1.5% of the Participant's Primary Social Security Benefit times Service covered by (a) that occur after December 31, 1978.
- (c) 1% of the Participant's Highest Average Salary times Service in excess of 35 years, if any.

In no event shall the monthly retirement benefit be less than the benefit accrued at December 31, 1988 from the American National Can Group Retirement Plan for Salaried Employees—Plan 1 or Plan 2, or the Guardian Packaging Corporation Retirement Plan for Salaried Employees if a participant was formerly a participant in any of these plans.

Various divisions acquired by American National Can Group are subject to a past service date before which credit for service for benefit accrual purposes is not granted.

Early Retirement—Blue Participants

Eligibility

Age 55 and five years of vesting service.

Total Benefit

A monthly benefit equal to (a) reduced by (b), plus (c) below:

- (a) 1.5% of the participant's highest average salary times service not in excess of 35 years. Such amount shall be reduced by $\frac{1}{4}$ of 1% for each month by which the benefit commencement date precedes age 62. Such reduction shall not apply if the participant retires after age 60 with at least 30 years of service.
- (b) 1.5% of the participant's primary social security benefit times service covered by (a) that occur after December 31, 1978. Such amount shall be reduced by $\frac{1}{180}$ th for the first 60 months and $\frac{1}{360}$ th for the next 60 months by which the benefit commencement date precedes normal retirement date.

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- (c) 1.0% of the participant's highest average salary times service in excess of 35 years, if any. Such amount shall be reduced by $\frac{1}{4}$ of 1% for each month by which the benefit commencement date precedes age 62. Such reduction shall not apply if the participant retires after age 60 with at least 30 years of service.

Late Retirement—Blue Participants
Eligibility

Age 65.

Total Benefit

The normal retirement benefit, computed using highest average salary and service to actual date of retirement.

Deferred Vested—Blue Participants
Retirement
Eligibility

Five years of vesting service.

Total Benefit

Normal retirement benefit accrued to date of termination commencing at age 65 or reduced by $\frac{1}{2}$ of 1% for each month the first payment precedes the employee's normal retirement date.

Normal Retirement—Green Participants
Eligibility

Age 65.

Total Benefit

A monthly benefit equal to (a) plus (b) below:

- (a) Normal retirement formula payable to Blue participants with service frozen as of December 31, 2006 and pay based on Highest Average Salary at retirement and the participant's primary social security benefit at retirement.
- (b) 1.5% of career average pay times service with pay and benefit service beginning on January 1, 2007.

Early Retirement—Green Participants
Eligibility

Age 55 and five years of vesting service.

Total Benefit

A monthly benefit equal to (a) plus (b) below:

- (a) Early retirement formula payable to Blue participants with service frozen as of December 31, 2006 and pay based on Highest Average Salary at termination.
- (b) 1.5% of career average pay times service with pay and benefit service beginning on January 1, 2007. Such

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amount shall be actuarially reduced from age 65 for early commencement.

Late Retirement—Green Participants
Eligibility

Age 65.

Total Benefit

The normal retirement benefit, computed using salary and service at actual date of retirement.

Deferred Vested—Green Participants
Eligibility

Five years of vesting service.

Total Benefit

The normal retirement benefit accrued to date of termination commencing at age 65. If the benefit commences before age 65, the portion of the benefit payable under the Blue formula is reduced by $\frac{1}{2}$ or 1% for each month the first payment precedes the employee's normal retirement date, and the portion of the benefit payable under the career average formula is actuarially reduced for early commencement.

Normal Retirement—Yellow and Orange Participants
Eligibility

Age 65.

Total Benefit

A monthly benefit equal to 1.5% of career average pay times benefit service. Benefit service begins at later of January 1, 2006 and date of hire for Plastics (Flex Salaried) and Orange (Former Lawson Mardon and Shelbyville Pharma) participants. Benefit service begins at later of January 1, 2005 and date of hire for all other yellow participants.

Early Retirement—Yellow and Orange Participants
Eligibility

Age 60 and five years of vesting service.

Total Benefit

Normal retirement benefit actuarially reduced from age 65 for early commencement.

Late Retirement—Yellow and Orange Participants
Eligibility

Age 65.

Total Benefit

The normal retirement, computed using salary and service at actual date of retirement.

Deferred Vested Retirement—Yellow and Orange Participants
Eligibility

Five years of vesting service.

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Total Benefit	The normal retirement benefit accrued to date of termination commencing at age 65 or actuarially reduced for commencement before age 65.
Disability Retirement—All Participants Eligibility	Entitled to benefits under the Company's Long-Term Disability (LTD) Plan and disability benefits under provisions of the Social Security Act.
Total Benefit	Participants with a date of disability before January 1, 2007 continue to accrue benefit service through the earlier of age 65 or the date their disability ends. Post-2011 benefit service for this group is accrued in the AlcanCorp Pension Plan.
Preretirement Spouse's Annuity Eligibility	Any vested participant (active or terminated).
Total Benefit	<p>For a participant who is eligible for early or normal retirement, the benefit is an immediate annuity to the surviving spouse equal to 50% of the monthly benefit the participant would have been entitled to had he retired the day before his death and elected the 50% J&S option.</p> <p>For all other vested participants, the benefit is a deferred annuity to the surviving spouse equal to 50% of the monthly benefit the participant would have been entitled to had he terminated employment on the date of his death, survived to early retirement age, elected the 50% J&S option, and then died the following day.</p>
ANCG Offset	The ANCG portion of the benefit will be based on service with ANCG and the Highest Average Salary upon death or termination from PPPI, whichever comes earlier. Highest Average Salary for the ANCG portion of the benefit is limited to an average of 5% increases from ANCG Highest Average Salary at the time of participant transfer.
Normal Form of Annuity	Actuarially reduced 50% J&S annuity if married, otherwise straight life.
Optional Forms of Payment	<p>Joint and Survivor: 50%, 66 $\frac{2}{3}$%, 75%, 100%. Certain & Life: 5-year, 10-year.</p> <p>Lump sum if monthly retirement benefit is \$100 or less.</p> <p>These optional forms are based on the mortality table prescribed by Code Section 417(e)(3) and 6.00% interest.</p>

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Highest Average Salary The average monthly compensation for the 60 consecutive months of service affording the highest such average monthly compensation.

Primary Social Security Benefit The monthly amount to which an employee is or would be entitled, assuming that he would continue to receive, until he reached 65, compensation at the same rate as in effect on the date of termination.

Past Service Limitation:

	Division	Location	Past Service Date
For Former NCC Salaried Plan 2 Locations:	Dura-Closure	Hutchinson	08/19/1974
		Consolidated Cork	02/25/1971
		Bedford Park, CA	03/01/1980
		Bernardin, IN	03/06/1980
	NCC-Glass	Oil City	08/11/1969
		Shawmut	08/31/1970
		Kerr	09/19/1983
	NCC-MCD Plastic Container Division	Kaiser	03/07/1983
			08/01/1979
For ANC Salaried Plan Locations:	Color-Ad		04/01/1988
	Ludlow		12/01/1987
	Longview		01/11/1991
	Winston-Salem		07/01/1993
	Asheville		04/01/1995
For PPPI Salaried Plan Locations:	Kenpak		01/01/2000
	JPS		07/01/2001
	Phoenix		02/02/2002

Compensation Compensation shall include base salary, 401(k) or section 125 salary reductions, overtime, commissions and shift premium payments, and non-deferred incentive awards paid during the year. Compensation does not include any flexible amount regardless of whether received in cash.

Effective January 1, 2002, EGTRRA increased the Internal Revenue Code section 415 limit to \$160,000 and the limit on compensation to \$200,000. The \$200,000 pay limit was applied retroactively for participants who were active as of January 1, 2002.

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Special Provisions Applicable to Former Nonhighly-Compensated Members of the
American National Can Group Retirement Plan for Salaried Employees—Plan 1 (i.e.,
former ACPI Salaried Plan)

Note: Eligibility for these special provisions is based on service in the ANCG Salaried Plan, but the actual monthly retirement benefit and the annual salary is based on accredited service and salary as of December 31, 1988 (under the terms of the ACPI Salaried Plan then in effect).

PPPI assumes all liabilities under the ANC 25-Year Survivorship and ANCG 10-Year Survivorship Plan in respect to PPPI employees transferring from ANC.

Survivor Income Benefit

Eligibility

The following requirements must be met at death:

- Hired before January 1, 1979
- Ten years of service
- Employee is active, on leave, on long-term or short-term disability, and
- Not covered by the Survivorship Benefit.

Total Benefit

For death before age 55: a monthly benefit of \$100 payable to the employee's age 55. After the employee's age 55, a monthly benefit equal to the greatest of \$100, 15% of the monthly retirement benefit (as if retired on date of death), or the Preretirement Spouse's Benefit.

For death after age 55: a monthly benefit equal to the greatest of \$100, 15% of the monthly retirement benefit (as if retired on date of death), or the Preretirement Spouse's Benefit.

Survivorship Benefit

Eligibility

The following requirements must be met at death:

Employed on or before April 30, 1975
25 years of service before age 65, and
Either active, on long-term or short-term disability, or an early retiree (does not include vested terminations).

Total Benefit

An amount calculated from a benefit base of two times frozen annual salary (base pay plus salary reductions only). If the benefit base is greater than \$5,000, the amount shall be paid in monthly installments to a beneficiary in such amounts as would have been payable had the benefit base been used to purchase a straight life annuity from an insurance company.

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Covered Work Force Realignment	An employee separated due to work force realignment and covered by the severance pay provisions may be eligible for special retirement benefits if certain other conditions are met (employed on August 31, 1985, at least age 50, and eight years of accredited service at separation).
Employee Contributions	None required since 1972.
Other Workforce Reductions	Any subsidy or enhancement granted to PPPI employees as part of a workforce reduction will be PPPI's responsibility. In other words, the ANC Former Plan #020 will not provide additional benefits due to workforce reduction initiatives.
Commencement of Benefits	PPPI employees may not commence benefits (ANCG or PPPI benefits) until they have terminated or retired from PPPI.

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Alcan Plastic Division Hourly Non-Union Participants (Former PPPI Plan #002)

Plastics Hourly Non-Union	Bellevue	Contract Period: N/A
<i>Benefit</i>	<i>Eligibility</i>	<i>Provision</i>
Normal Retirement	Age 65.	Bellevue — \$28.00 (Sold during 2006). Asheville — \$19.00 per year of credited service after April 1, 1995. There have been no benefit level changes in the past ten years.
Early Retirement Full	None.	N/A.
Reduced	Age 55 with ten years of service.	Accrued benefit, reduced ½% per month before age 65.
Disability	Fifteen years of service.	Accrued benefit.
Vesting	Five years of service.	Accrued benefit payable at normal retirement date. Participants with at least 10 years of service at termination can commence before age 65. The accrued benefit is reduced ½% per month from age 65.
Plant Closing/Layoff	None.	N/A.
Preretirement Spouse's Annuity	Five years of service.	Automatic Preretirement 50% Joint and Survivor Coverage; benefits are deferred to earliest retirement age.

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ANCG Offset	Participants transferring from ANC to PPPI	<p>Benefits payable will be equal to the total benefit payable to a participant minus the portion of the benefit that will be paid by former ANC Plan #177.</p> <p>The ANCG portion of the benefit will be based on service with ANCG and the ultimate negotiated benefit level as of the date of the transfer (\$20.50 for Bellevue and \$19.00 for Asheville).</p> <p>Service with both ANCG and PPPI combined will be used to determine eligibility for benefits.</p>
Normal Form of Annuity		<p>Actuarially reduced 50% J&S annuity if married, otherwise straight life.</p>
Optional Forms of Payment		<p>Joint and Survivor: 50%, 75% and 100%.</p> <p>These optional forms are based on the mortality table prescribed by Code Section 417(e)(3) and 6.00% interest.</p>

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Alcan Food Packaging Hourly Union Participants (Former PPPI Plan # 003)

**Plastics Hourly
Union**

Joint GCIU

Contract Period: July 1, 2007 to June 30, 2010

Benefit

Eligibility

Provision

Normal Retirement

Age 65.

\$37.00. Increases apply to retirees who retire on or after July 1, 2009.

The following table lists all benefit level changes in the past ten years:

Effective Date	Benefit Level
7/1/2009	\$37.00
7/1/2008	\$36.50
7/1/2007	\$36.00

Early Retirement
Full

Age 62 with 15 years of service.

Accrued benefit.

Reduced

Age 55 with 15 years of service.

Accrued benefit, reduced ½% per month before age 62.

Disability

Fifteen years of service.

Accrued benefit.

Vesting

Five years of service.

Accrued benefit payable at normal retirement date. Participants with at least 15 years of service at termination can commence before age 65. The accrued benefit is reduced ½% per month from age 65.

Plant Closing/Layoff

None.

N/A.

Preretirement
Spouse's Annuity

Five years of service.

Automatic Preretirement 50% Joint and Survivor Coverage; minimum monthly benefit of \$100; benefits are deferred to earliest retirement age.

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ANCG Offset	Participants transferring from ANC to PPPI	<p>Benefits payable for Joint GCIU will be equal to the total benefit payable to a participant minus the portion of the benefit that will be paid by former ANC Plan #067.</p> <p>The ANCG portion of the benefit will be based on service with ANCG and the ultimate negotiated benefit level as of the date of the transfer (\$29.50).</p> <p>Service with both ANCG and PPPI combined will be used to determine eligibility for benefits.</p>
Normal Form of Annuity		<p>Actuarially reduced 50% J&S annuity if married, otherwise straight life.</p>
Optional Forms of Payment		<p>Joint and Survivor: 50%, 75%, and 100%.</p> <p>These optional forms are based on the mortality table prescribed by Code Section 417(e)(3) and 6.00% interest.</p>

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**Plastics Hourly
Union**

Joint UPIU (PACE)

Contract Period: August 1, 2006 to July 31, 2009

Benefit

Eligibility

Provision

Normal Retirement

Age 65.

\$36.25. Increases apply to retirees who retire on or after August 1, 2008.

The following table lists all benefit level changes in the past ten years:

Effective Date	Benefit Level
8/1/2008	\$36.25
8/1/2007	\$35.50

Early Retirement
Full

Age 62 with 15
years of service.

Accrued benefit.

Reduced

Age 55 with 15
years of service.

Accrued benefit, reduced ½% per month before age 62.

Disability

Fifteen years of
service.

Accrued benefit.

Vesting

Five years of
service.

Accrued benefit payable at normal retirement date. Participants with at least 15 years of service at termination can commence before age 65. The accrued benefit is reduced ½% per month from age 65.

Plant Closing/Layoff

None.

N/A.

Preretirement
Spouse's Annuity

Five years of
service.

Automatic Preretirement 50% Joint and Survivor Coverage; minimum monthly benefit of \$100; benefits are deferred to earliest retirement age.

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ANCG Offset	Participants transferring from ANC to PPPI	<p>Benefits payable for Joint UPIU (PACE) will be equal to the total benefit payable to a participant minus the portion of the benefit that will be paid by former ANC Plan #068.</p> <p>The ANCG portion of the benefit will be based on service with ANCG and the ultimate negotiated benefit level as of the date of the transfer (\$28.50).</p> <p>Service with both ANCG and PPPI combined will be used to determine eligibility for benefits.</p>
Normal Form of Annuity		<p>Actuarially reduced 50% J&S annuity if married, otherwise straight life.</p>
Optional Forms of Payment		<p>Joint and Survivor: 50%, 75% and 100%.</p> <p>These optional forms are based on the mortality table prescribed by Code Section 417(e)(3) and 6.00% interest.</p>

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**Plastics Hourly
Union**

Menasha IAM

Contract Period: October 1, 2006 to September 30, 2009

Benefit

Eligibility

Provision

Normal Retirement

Age 65.

\$36.25. Increases apply to retirees who retire on or after October 1, 2008.

The following table lists all benefit level changes in the past ten years:

Effective Date	Benefit Level
10/1/2008	\$36.25
10/1/2007	\$35.50

Early Retirement
Full

Age 62 with 15 years of service.

Accrued benefit.

Reduced

Age 55 with 15 years of service.

Accrued benefit, reduced ½% per month before age 62.

Disability

Fifteen years of service.

Accrued benefit.

Vesting

Five years of service.

Accrued benefit payable at normal retirement date. Participants with at least 15 years of service at termination can commence before age 65. The accrued benefit is reduced ½% per month from age 65.

Plant Closing/Layoff

None.

N/A.

Preretirement
Spouse's Annuity

Five years of service.

Automatic Preretirement 50% Joint and Survivor Coverage; minimum monthly benefit of \$100; benefits are deferred to earliest retirement age.

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ANCG Offset	Participants transferring from ANC to PPPI	Benefits payable for Menasha IAM will be equal to the total benefit payable to a participant minus the portion of the benefit that will be paid by former ANC Plan #069. The ANCG portion of the benefit will be based on service with ANCG and the ultimate negotiated benefit level as of the date of the transfer (\$28.50). Service with both ANCG and PPPI combined will be used to determine eligibility for benefits.
Normal Form of Annuity		Actuarially reduced 50% J&S annuity if married, otherwise straight life.
Optional Forms of Payment		Joint and Survivor: 50%, 75% and 100%. These optional forms are based on the mortality table prescribed by Code Section 417(e)(3) and 6.00% interest.

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Plastics Hourly
Union

St. Louis Park
(Color Ad) Hourly

Contract Period: March 1, 2008 to February 28,
2011

Benefit

Eligibility

Provision

Normal Retirement

Age 65.

\$26.00 times service after January 1, 1990 plus \$10.00 times service prior to January 1, 1990.

The following table lists all benefit level changes in the past ten years:

Effective Date	Benefit Level
1/1/2010	\$26.00 times service after 1/1/1990
1/1/2009	\$25.00 times service after 1/1/1990
1/1/2008	\$24.00 times service after 1/1/1990

Early Retirement

Full

None.

N/A.

Reduced

None.

N/A.

Disability

None.

N/A.

Vesting

\$26 future service benefit—five years of service after January 1, 1990. \$10 past service benefit—20% per year of service after January 1, 1990

Accrued benefit payable at normal retirement date.

Plant Closing/Layoff

None.

N/A.

Preretirement
Spouse's Annuity

Five years of service.

Automatic Preretirement 50% Joint and Survivor Coverage; benefits are deferred to earliest retirement age.

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ANCG Offset	Participants transferring from ANC to PPPI	Benefits payable for St. Louis Park (Color-Ad) will be equal to the total benefit payable to a participant minus the portion of the benefit that will be paid by former ANC Plan #163. The ANCG portion of the benefit will be based on service with ANCG and the ultimate negotiated benefit level as of the date of the transfer (\$10.00 times service prior to January 1, 1990 plus \$19.00 times service after January 1, 1990). Service with both ANCG and PPPI combined will be used to determine eligibility for benefits.
Normal Form of Annuity		Actuarially reduced 50% J&S annuity if married, otherwise straight life.
Optional Forms of Payment		Joint and Survivor: 50%, and 75%. These optional forms are based on the mortality table prescribed by Code Section 417(e)(3) and 6.00% interest.

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**Plastics Hourly
Union**

Minneapolis GCIU

Contract Period: May 1, 1997 to April 30, 2000

Benefit

Eligibility

Provision

Normal Retirement

Age 65.

\$26.50 per year of credited service after May 1, 1985 and before January 1, 2001.

Employees have a frozen pension benefit effective December 31, 2000 with continuing eligibility for normal retirement, early retirement, and vesting.

Early Retirement
Full

None.

N/A.

Reduced

Age 55 with ten years of service.

Accrued benefit, reduced 2/5% per month before age 65.

Disability

Ten years of service.

Accrued benefit.

Vesting

Five years of service.

Accrued benefit payable at normal retirement date. Participants with at least 10 years of service at termination can commence before age 65. The accrued benefit is reduced 2/5% per month from age 65.

Plant Closing/Layoff
Preretirement
Spouse's Annuity

None.

Five years of service.

N/A.

Automatic Preretirement 50% Joint and Survivor Coverage; benefits are deferred to earliest retirement age.

ANCG Offset

Participants transferring from ANC to PPPI

Benefits payable for Minneapolis GCIU will be equal to the total benefit payable to a participant minus the portion of the benefit that will be paid by former ANC Plan #174.

The ANCG portion of the benefit will be based on service with ANCG and the ultimate negotiated benefit level as of the date of the transfer (\$26.50 times service after May 1, 1985).

Service with both ANCG and PPPI combined will be used to determine eligibility for benefits.

Normal Form

Actuarially reduced 50% J&S annuity if married,

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of Annuity

otherwise straight life.

Optional Forms of
Payment

Joint and Survivor: 25%, 50%, 75%, and 100%.

10-Year Certain & Life.

These optional forms are based on the mortality table
prescribed by Code Section 417(e)(3) and 6.00%
interest.

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**Plastics Hourly
Union**

**Jaite Packaging
Services**

**Contract Period: March 1, 2009 to February 29,
2012**

Benefit

Eligibility

Provision

Normal Retirement

Age 65.

\$33.25.

The following table lists all benefit level changes in the past ten years:

Effective Date	Benefit Level
3/1/2010	\$33.25
3/1/2008	\$32.00
3/1/2007	\$31.00

Disability

Five years of service.

Accrued benefit.

Early Retirement
Full

None.

N/A.

Reduced

Age 55 with five years of service.

Accrued benefit, reduced ½% per month before age 65.

Vesting

Five years of service.

Accrued benefit payable at normal retirement date. If participants commence before age 65, the accrued benefit is reduced ½% per month from age 65.

Plant Closing/Layoff

None.

N/A.

Preretirement
Spouse's Annuity

Five years of service.

Automatic Preretirement 50% Joint and Survivor Coverage; benefits are deferred to earliest retirement age.

Normal Form
of Annuity

Actuarially reduced 50% J&S annuity if married, otherwise straight life.

Optional Forms of
Payment

Joint and Survivor: 50%, 75%, and 100%.

Certain & Life: 5-Year, 10-Year, and 15-Year.

These optional forms are based on the mortality table prescribed by Code Section 417(e)(3) and 6.00% interest.

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Alcan Beauty Tubes America Hourly Non-Union Participant (Former PPPI Plan #004)

Tubes Hourly Non-Union	Shelbyville Unorganized	Contract Period: N/A
<i>Benefit</i>	<i>Eligibility</i>	<i>Provision</i>
Normal Retirement	Age 65.	\$22.50. Benefit service is frozen as of December 31, 2006. Participants continue to accrue service for eligibility and vesting purposes. There have been no benefit level changes in the past ten years.
Early Retirement Full	Age 62 and 30 years of service.	Accrued benefit.
Reduced	Age 55 and 15 years of service.	Accrued benefit, reduced ¼% per month before age 65 (before age 62 if more than 30 years of service).
Disability	Ten years of service.	Accrued benefit.
Vesting	Five years of service.	Accrued benefit payable at normal retirement date. Participants with at least 15 years of service at termination can commence before age 65. The accrued benefit is reduced ½% per month from age 65.
Plant Closing/Layoff	None.	N/A.
Preretirement Spouse's Annuity	Five years of service.	Automatic Preretirement 50% Joint and Survivor Coverage; benefits are deferred to earliest retirement age.

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ANCG Offset	Participants transferring from ANCG to PPPI	<p>Benefits payable for Shelbyville Unorganized will be equal to the total benefit payable to a participant minus the portion of the benefit that will be paid by former ANC Plan #051.</p> <p>The ANCG portion of the benefit will be based on service with ANCG and the ultimate negotiated benefit level as of the date of the transfer (\$19.25).</p> <p>Service with both ANCG and PPPI combined will be used to determine eligibility for benefits.</p>
Normal Form of Annuity		<p>Actuarially reduced 50% J&S annuity if married, otherwise straight life.</p>
Optional Forms of Payment		<p>Joint and Survivor: 50%, 75%, and 100%.</p> <p>These optional forms are based on the mortality table prescribed by Code Section 417(e)(3) and 6.00% interest.</p>

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Tubes Hourly Non-Union	Lincoln Park	Contract Period: N/A
<i>Benefit</i>	<i>Eligibility</i>	<i>Provision</i>
Normal Retirement	Age 65 with five years of service.	\$17.50. Benefit service is frozen as of December 31, 2006. Participants continue to accrue service for eligibility and vesting purposes. There have been no benefit level changes in the past ten years.
Early Retirement Full	None.	N/A.
Reduced	None.	N/A.
Disability	None.	N/A.
Vesting	Five years of service.	Accrued benefit payable at normal retirement date.
Plant Closing/Layoff	None.	N/A.
Preretirement Spouse's Annuity	Five years of service.	Automatic Preretirement 50% Joint and Survivor coverage; benefits are deferred to normal retirement age.
ANCG Offset	Participants transferring from ANC to PPPI	Benefits payable for Lincoln Park will be equal to the total benefit payable to a participant minus the portion of the benefit that will be paid by former ANC Plan #110. The ANCG portion of the benefit will be based on service with ANCG and the ultimate negotiated benefit level as of the date of the transfer (\$16.50). Service with both ANCG and PPPI combined will be used to determine eligibility for benefits.

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Normal Form
of Annuity

Actuarially reduced 50% J&S annuity if married,
otherwise straight life.

Optional Forms of
Payment

Joint and Survivor: 50%, 75%, and 100%.

These optional forms are based on the mortality table
prescribed by Code Section 417(e)(3) and 6.00%
interest.

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Tubes Hourly Non-Union	Washington, NJ Unorganized	Contract Period: N/A
<i>Benefit</i>	<i>Eligibility</i>	<i>Provision</i>
Normal Retirement	Age 65 with five years of service.	\$22.00. Benefit service is frozen as of December 31, 2006. Participants continue to accrue service for eligibility and vesting purposes. There have been no benefit level changes in the past ten years.
Early Retirement Full	Age 62 with 30 years of service.	Accrued benefit.
Reduced	Age 55 with ten years of service.	Accrued benefit, reduced ¼% per month before age 65 (before age 62 if more than 30 years of service).
Disability	Ten years of service.	Accrued benefit.
Vesting	Five years of service.	Accrued benefit payable at normal retirement date. Participants with at least 10 years of service at termination can commence before age 65. The accrued benefit is reduced ½% per month from age 65.
Plant Closing/Layoff	None.	N/A.
Preretirement Spouse's Annuity	Five years of service.	Automatic Preretirement 50% Joint and Survivor Coverage; benefits are deferred to earliest retirement age.
ANCG Offset	Participants transferring from ANC to PPPI	Benefits payable for Washington, NJ Unorganized will be equal to the total benefit payable to a participant minus the portion of the benefit that will be paid by former ANC Plan #111. The ANCG portion of the benefit will be based on service with ANCG and the ultimate negotiated benefit level as of the date of the transfer (\$21.40). Service with both ANCG and PPPI combined will be used to determine eligibility for benefits.

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Normal Form
of Annuity

Actuarially reduced 50% J&S annuity if married,
otherwise straight life.

Optional Forms of
Payment

Joint and Survivor: 50%, 75%, and 100%.

These optional forms are based on the mortality table
prescribed by Code Section 417(e)(3) and 6.00%
interest.

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Alcan Bargaining Employees of Illinois (Former PPPI Plan #006)

**Bargaining Employees
of Illinois**

Contract Period: May 1, 2007 to April 30, 2010

Benefit Eligibility Provision

Normal Retirement Age 65. \$25.50.

The following table lists all benefit level changes in the past ten years:

Effective Date	Benefit Level
5/1/2009	\$25.50
5/1/2008	\$24.25
5/1/2007	\$23.00

Early Retirement
Full

None.

N/A.

Reduced

Age 55 with ten years of service.

Accrued benefit, reduced ½% per month before age 65.

Disability

Five years of service.

Accrued benefit, employee continues to accrue service until electing to receive benefit.

Vesting

Five years of service.

Accrued benefit payable at normal retirement date. Participants with at least 10 years of service at termination can commence before age 65. The accrued benefit is reduced ½% per month from age 65.

Plant Closing/Layoff

None.

N/A.

Preretirement

Five years of service.

½ of accrued benefit.

Spouse's Annuity

Normal Form
of Annuity

Actuarially reduced 50% J&S annuity if married, otherwise straight life.

Optional Forms of
Payment

Joint and Survivor: 50%, 66 ⅔%, 75%, and 100%.

These optional forms are based on the mortality table prescribed by Code Section 417(e)(3) and 6.00% interest.

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
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Plan Provisions - Kennecott

Effective Date	June 30, 1989.
Eligibility for Participation	<p>Any employee who is represented by a collective bargaining agreement, or was employed by a predecessor company before January 1, 1989.</p> <p>Participation is closed to new hires as of January 1, 2018.</p> <p>As of April 9, 2019, all participants who were part of the annuity contract purchase that occurred on April 2, 2019 are no longer participants under the plan. However, they are still included in the 2019 funding valuation since they were participants in the plan as of the valuation date.</p>
Normal Retirement Eligibility	Earlier of age 65 and fifth anniversary of employment, or age 70.
Total Benefit- Barney's Canyon	<p>A monthly benefit computed as the sum of:</p> <p>(1) \$35.00 for each year of credited service, up to 15 years plus</p> <p>(2) \$36.50 for each year of credited service in excess of 15 years, up to 30 years plus</p> <p>(3) \$38.00 for each year of credited service in excess of 30 years</p> <p>Effective January 1, 2015 (adopted December 19, 2014), the multiplier was increased to \$44 per year of benefit service for active Barney's Canyon employees retiring or terminating on or after January 1, 2015. Effective January 1, 2016, the multiplier was increased to \$47 per year of benefit service. After 1/1/2016, the multiplier for Barney's Canyon employees increases in accordance with the multiplier increases for all other locations. Note, the Barney's Canyon benefits are negotiated separately from the benefits for other locations.</p>
Total Benefit- Other Locations	<p>A monthly benefit equal to \$51.00 per year of credited service for retirements after 1/1/2020.</p> <p>The following table lists benefit level changes under the prior and current collective bargaining agreement:</p>

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Effective Date	Benefit Level
1/1/2010	\$42.00
1/1/2013	\$44.00
1/1/2016	\$47.00
4/1/2017	\$48.00
1/1/2018	\$49.00
1/1/2019	\$50.00
1/1/2020	\$51.00
1/1/2021	\$52.00

The benefit level applicable as of 1/1/2010 was applied retroactively to participants that retired or terminated between 7/1/2006 and 12/31/2009.

Early Retirement

Eligibility

Age 60 and 10 years of continuous service.

Total Benefit

The accrued normal retirement benefit multiplied by the appropriate age-based factor below:

Age	Factor	Age	Factor
65	1.00	59	0.88
64	1.00	58	0.84
63	1.00	57	0.80
62	1.00	56	0.76
61	0.96	55	0.72
60	0.92		

Early retirement reductions shall not apply if the participant meets any of the following eligibility criteria:

- 30 years of continuous service
- 60/30 retirement: age 60 and 30 years of continuous service
- 70/80 retirement: age 55 and age plus continuous service is at least 70, or age and continuous service is at least 80

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Supplement An early retirement supplement is offered to participants who retire under 60/30 retirement or 70/80 retirement in the following amounts:

- 60/30 retirement: \$400 per month supplement payable until the earlier of age 62, or when unreduced Social Security benefits begin, plus a \$170 per month supplement payable from age 62 to age 65
- 70/80 retirement: \$300 per month supplement payable until the earlier of age 62, or when unreduced Social Security benefits begin

Late Retirement
Eligibility

Retire after normal retirement date.

Total Benefit

The normal retirement benefit accrued at the date of late retirement.

Disability Retirement
Eligibility

Total and permanent disability after completing 10 or more years of Continuous Service.

Total Benefit

The accrued benefit based on service through the date of disability commencing after 5 months of permanent and total disability, plus a \$300 per month supplement payable until the earlier of age 62, or when unreduced Social Security benefits begin.

Vested Termination
Eligibility

5 years of continuous service.

Total Benefit

The normal retirement benefit accrued to date of termination commencing at age 65. The participant may elect for benefits to start at any time after age 60 with the benefit reduced according to the following table:

<u>Age</u>	<u>Factor</u>
65	1.00
64	0.96
63	0.92
62	0.88
61	0.84
60	0.80

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Death Benefits

Eligibility

5 years of continuous service.

Total Benefit

For an active participant, the benefit is an immediate annuity to the surviving spouse equal to 50% of the accrued normal retirement benefit.

For terminated vested participants, the benefit is a deferred annuity to the surviving spouse equal to 55% of the monthly benefit the participant would have been entitled to had he terminated employment on the date of his death, survived to early retirement age, elected the 55% J&S option, and then died the following day.

Normal Form of Benefit

Actuarially reduced 55% J&S annuity if married, otherwise straight life.

Optional Forms of Payment

50%, 75%, or 100% joint and survivor annuities.

Before April 1, 2018, these optional forms are based on the 1983 Group Annuity Mortality Table and 8.00% interest.

After April 1, 2018, these optional forms are based on the 417(e) Mortality Table and 6.00% interest.

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Rio Tinto America Inc. Retirement Plan
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Plan Provisions - Borax

Effective Date	The Boron and Wilmington pension plans were effective October 1, 1963, and merged to form the Borax Hourly Pension Plan on December 31, 2010.
Eligibility for Participation	All regular full time Boron and Wilmington hourly employees.
Participation date	First of month following the completion of one year of service. Participation is closed to Boron Hourly employees as of May 17, 2010, and to Wilmington Hourly employees as of June 17, 2011. As of April 9, 2019, all participants who were part of the annuity contract purchase that occurred on April 2, 2019 are no longer participants under the plan. However, they are still included in the 2019 funding valuation since they were participants in the plan as of the valuation date.
Normal Retirement Eligibility	Age 65.
Total Benefit—Boron Hourly	A monthly benefit equal to \$75.00 per year of pensionable service.

There have been no benefit level changes in the past ten years. The following table lists future increases under the current Collective Bargaining Agreement:

Effective Date	Benefit Level
6/18/2021	\$76.00
6/18/2022	\$77.00
6/18/2023	\$78.00
6/18/2024	\$79.00
6/18/2025	\$80.00
6/18/2026	\$81.00
6/18/2027	\$82.00

The benefit levels effective 7/1/2021 and beyond are not reflected in the 2021 funding valuation since the increases were effective after the valuation date.

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Total Benefit—Wilmington Hourly

A monthly benefit equal to \$78.00 per year of pensionable service.

The following table lists all benefit level changes in the past ten years as well as future increases under the current Collective Bargaining Agreement:

Effective Date	Benefit Level
6/17/2011	\$75.00
6/17/2017	\$76.00
7/1/2018	\$77.00
7/1/2019	\$78.00
7/1/2020	\$79.00
7/1/2021	\$80.00

The benefit levels effective 7/1/2021 and beyond are not reflected in the 2021 funding valuation since the increases were effective after the valuation date.

Early Retirement
Eligibility

Age 55.

Total Benefit

The accrued normal retirement benefit multiplied by the appropriate age-based factor below:

Age	Factor	Age	Factor
65	1.00	59	0.88
64	1.00	58	0.84
63	1.00	57	0.80
62	1.00	56	0.76
61	0.96	55	0.72
60	0.92		

Late Retirement
Eligibility

After age 65.

Total Benefit

The retirement benefit accrued at the date of late retirement.

Disability Retirement
Eligibility

10 years of pensionable service.

Total Benefit

A monthly benefit equal to 15% of Final Average Earnings, increased by 1% of Final Average Earnings for each year of pensionable service in excess of 15, not to exceed 25.

The benefit is reduced by workers' compensation and 50% of any Social Security benefits. The benefit is not payable

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while the participant is eligible for the company's Long Term Disability plan.

Vested Termination
Eligibility

Earlier of age 55 or 5 years of vesting service.

Total Benefit

The normal retirement benefit at date of termination, commencing at age 65. The participant may elect for benefits to start as early as age 55, with benefits reduced based on actuarial reduction factors.

Preretirement Death
Eligibility

For members with a surviving spouse, 5 years of vesting service.

Any participant with 15 years of vesting service that does not have a surviving spouse shall have a death benefit payable to the dependent child(ren).

Spouse's Total Benefit

For an active participant age 55 or older with at least 25 years of service, the benefit is an immediate annuity to the surviving spouse equal to 50% of the accrued normal retirement benefit.

For all other vested participants, the benefit is a deferred annuity to the surviving spouse equal to 50% of the monthly benefit the participant would have been entitled to had he terminated employment on the date of his death, survived to early retirement age, elected the 50% J&S option, and then died the following day.

Beneficiaries' Total Benefit

An immediate annuity to the dependent child(ren) equal to 50% of the accrued normal retirement benefit payable until the earlier of the dependent child's 21st birthday, marriage or first date of employment.

Normal Form of Benefit

50% J&S annuity if married, otherwise straight life annuity.

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Optional Forms of Payment

A retiring participant may also elect other optional forms of payment on an actuarially equivalent basis. These options include:

- life annuity,
- 50%, 66 $\frac{2}{3}$ %, 75%, or 100% joint and survivor annuities,
- 5, 10, or 15 year certain and life annuities, and
- level income option for retirement prior to commencement of Social Security benefits.

Before April 1, 2018, these optional forms are based on the 1971 Group Annuity Male Mortality Table and 5.00% interest.

After April 1, 2018, these optional forms are based on the 417(e) Mortality Table and 6.00% interest.

Definitions

Pensionable Service

Measured from the date the employee meets the eligibility requirements of the plan, or from date of hire after completing five years of vesting service.

Vesting Service

A year of vesting service is earned for any year in which an employee has 1,000 hours of service or more. A fractional year is granted equal to the number of hours worked divided by 1,000.

Final Average Earnings

A participant's average annual earnings for the highest five consecutive calendar years within the last ten consecutive calendar years preceding retirement or termination.

Earnings

Gross annual earnings, absence pay, holiday pay, premium payments (exclusive of bonuses), directors' fees, vehicle allowances, repayment of expenses, insurance payments, and 401(k) and cafeteria plan deferrals.

Schedule SB Attachment (Form 5500)—2021 Plan Year
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Plan Changes Since the Prior Year

The funding valuation reflects the following plan changes:

- A change in the mortality basis for lump sum payments from the 2020 plan year IRC section 417(e)(3) mortality table to the 2021 plan year IRC section 417(e)(3) mortality table.
- The compensation limit under Section 401(a)(17) of the Internal Revenue Code changed from \$285,000 to \$290,000.
- The Borax and Kennecott Plan was merged into the RTA Plan, effective December 31, 2020.
- Effective January 1, 2021, the benefits for Kennecott participants who are active in the Legacy-Kennecott Hourly plan on that date increased to \$52.00 times all years of service.
- Effective July 1, 2020, the benefits for Wilmington participants who are active in the Legacy-Borax Hourly plan on that date increased to \$79.00 times all years of service and increase an additional \$1 each year through 2022.

Other Information to Fully and Fairly Disclose the Actuarial Position of the Plan

Due to software limitations with the electronic filing process, information filed electronically cannot be controlled by the Enrolled Actuary. The values on the signed Schedule SB will govern to the extent there are any differences in the entries filed electronically and the actual data contained on the signed Schedule SB.

Under the American Rescue Plan Act of 2021 (ARPA), the stabilized interest rates for certain purposes will be adjusted once the ARPA stabilization is applied. By default, this stabilization would have applied starting with the 2020 plan year. Additionally, the shortfall amortization period will be adjusted from 7 years to 15 years and eliminate all prior shortfall bases once applied.

On August 12, 2021, Rio Tinto America Inc. made an explicit election not to apply the ARPA interest rate stabilization (for any purposes) to the Rio Tinto America Inc. Retirement Plan for the 2020 plan year. Therefore, the ARPA interest rate stabilization applies for the first day of the 2021 plan year. Rio Tinto America Inc. additionally made an election on that date to apply the extended shortfall amortization period under ARPA starting with the 2021 plan year. Therefore, this Schedule SB reflects the extended shortfall amortization period and the stabilized 2021 minimum funding interest rates with regard to ARPA.

Rio Tinto America Inc. Retirement Plan Trust

Schedule H, Line 4i - Schedule of Assets (Held at End of Year) - As of December 31, 2021

(a)	(b)/(c)	(c)	(d)	(e)
Identity of Issuer, Borrower, Lessor or Similar Party	Description of Investment including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Interest Rate	Cost - Base	Market Value - Base
Cash				
POUND STERLING		0.000000	\$ 427,558	\$ 429,925
MEXICAN PESO (NEW)		0.000000	640,825	642,459
BRAZILIAN REAL		0.000000	99,280	100,375
AUSTRALIAN DOLLAR		0.000000	8,988	9,206
CANADIAN DOLLAR		0.000000	2,599	2,731
CANADIAN DOLLAR		0.000000	320,655	320,686
POLISH ZLOTY		0.000000	2,654	2,679
SWISS FRANC		0.000000	1	1
US DOLLAR		0.000000	817,961	817,961
US DOLLAR		0.000000	705,326	705,326
SOUTH KOREAN WON		0.000000	42	40
TURKISH LIRA		0.000000	14	8
JAPANESE YEN		0.000000	522	512
SINGAPORE DOLLAR		0.000000	2,404	2,391
YUAN RENMINBI OFFSHORE		0.000000	3,005,510	3,005,385
NORWEGIAN KRONE		0.000000	508	367
RUSSIAN RUBLE		0.000000	84,013	83,182
EURO CURRENCY		0.000000	(6,084)	(8,514)
HUNGARIAN FORINT		0.000000	145,222	136,615
SOUTH AFRICAN RAND		0.000000	441,579	423,493
YUAN RENMINBI		0.000000	(2,920,720)	(2,998,444)
EURO CURRENCY		0.000000	2,253,083	2,139,773
ARGENTINE PESO		0.000000	376,179	240,430
Total Cash				6,056,587
Forwards				
BRAZILIAN REAL				63,765
SOL				27,431
BRAZILIAN REAL				23,835
SWISS FRANC				12,751
INDIAN RUPEE				9,118
INDONESIAN RUPIAH				7,131
RUSSIAN RUBLE				5,659
INDIAN RUPEE				5,475
MEXICAN PESO (NEW)				5,378
RUSSIAN RUBLE				5,157
BRAZILIAN REAL				4,977
RUSSIAN RUBLE				4,967
RUSSIAN RUBLE				4,599
INDIAN RUPEE				4,374
INDIAN RUPEE				3,863
RUSSIAN RUBLE				3,617
RUSSIAN RUBLE				2,594
INDONESIAN RUPIAH				1,734
SOUTH AFRICAN RAND				1,721
INDONESIAN RUPIAH				1,657
SOUTH AFRICAN RAND				1,448
CANADIAN DOLLAR				1,426
SOUTH AFRICAN RAND				1,358
SOUTH AFRICAN RAND				1,254
MEXICAN PESO (NEW)				1,157

Rio Tinto America Inc. Retirement Plan Trust

Schedule H, Line 4i - Schedule of Assets (Held at End of Year) - As of December 31, 2021

(a)	(b)/(c)	(c)	(d)	(e)
Identity of Issuer, Borrower, Lessor or Similar Party	Description of Investment including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Interest Rate	Cost - Base	Market Value - Base
	SOUTH AFRICAN RAND			1,091
	POLISH ZLOTY			1,071
	INDONESIAN RUPIAH			1,055
	SOUTH AFRICAN RAND			861
	EURO CURRENCY			687
	SOUTH AFRICAN RAND			618
	RUSSIAN RUBLE			602
	SOUTH AFRICAN RAND			598
	RUSSIAN RUBLE			589
	RUSSIAN RUBLE			515
	RUSSIAN RUBLE			439
	RUSSIAN RUBLE			357
	INDONESIAN RUPIAH			356
	SOUTH AFRICAN RAND			345
	RUSSIAN RUBLE			312
	RUSSIAN RUBLE			283
	RUSSIAN RUBLE			242
	RUSSIAN RUBLE			241
	RUSSIAN RUBLE			237
	RUSSIAN RUBLE			175
	RUSSIAN RUBLE			148
	RUSSIAN RUBLE			104
	EURO CURRENCY			(34)
	MEXICAN PESO (NEW)			(394)
	MEXICAN PESO (NEW)			(865)
	MEXICAN PESO (NEW)			(2,031)
	SWISS FRANC			(2,877)
	MEXICAN PESO (NEW)			(4,339)
	POLISH ZLOTY			(8,625)
	POLISH ZLOTY			(10,849)
	AUSTRALIAN DOLLAR			(14,980)
	CHILEAN PESO			(20,962)
	COLOMBIAN PESO			(46,872)
	EURO CURRENCY			(57,360)
	BRAZILIAN REAL			(64,851)
	POUND STERLING			(100,046)
	Total Forwards			(117,713)
	Total Cash and Forwards			5,938,874
	Interest Bearing Cash			
	* STATE STREET BANK + TRUST CO SHORT TERM INVESTMENT FUND	0.000000	26,467,334	26,467,334
	* STATE STREET BANK + TRUST CO SHORT TERM INVESTMENT FUND	1.000000	8	8
	* STATE STREET BANK + TRUST CO SHORT TERM INVESTMENT FUND	1.000000	826	826
	* STATE STREET BANK + TRUST CO SHORT TERM INVESTMENT FUND	0.000000	1,085,584	1,085,583
	* STATE STREET BANK + TRUST CO SHORT TERM INVESTMENT FUND	1.000000	5,751	5,751
	Total Interest Bearing Cash			27,559,502
	Common Stock			
	COMPUTER LEARNING CENTERS COMMON STOCK USD.01	0.000000	-	19
	Total Common Stock			19

Rio Tinto America Inc. Retirement Plan Trust

Schedule H, Line 4i - Schedule of Assets (Held at End of Year) - As of December 31, 2021

(a)	(b)/(c)	(c)	(d)	(e)
Identity of Issuer, Borrower, Lessor or Similar Party				
Description of Investment including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value				
		Interest Rate	Cost - Base	Market Value - Base
Fixed Income				
* STATE STREET CORP JR SUBORDINA 12/99 VAR		5.625000	150,000	154,618
WEYERHAEUSER CO SR UNSECURED 03/32 7.375		7.375000	1,282,572	1,692,107
WELLS FARGO + COMPANY SUBORDINATED 11/43 5.375		5.375000	1,112,797	1,460,991
SYNGENTA FINANCE NV COMPANY GUAR 144A 04/48 5.676		5.676000	1,642,850	1,981,068
ONEOK INC COMPANY GUAR 07/48 5.2		5.200000	1,388,584	1,701,293
SAUDI ELECTRICITY GLOBAL SR UNSECURED 144A 04/43 5.06		5.060000	3,023,402	3,317,693
BANK OF AMERICA CORP SR UNSECURED 12/28 VAR		3.419000	2,142,645	2,403,351
ONEOK PARTNERS LP COMPANY GUAR 10/37 6.85		6.850000	578,592	808,373
CODELCO INC SR UNSECURED REGS 10/43 5.625		5.625000	685,111	914,587
BANK OF AMERICA CORP SR UNSECURED 04/42 VAR		3.311000	4,100,000	4,329,415
NATWEST GROUP PLC JR SUBORDINA 12/99 VAR		5.125000	2,761,080	2,990,118
SABINE PASS LIQUEFACTION SR SECURED 05/30 4.5		4.500000	1,695,648	1,921,058
BROADCOM INC COMPANY GUAR 11/32 4.3		4.300000	1,747,795	1,971,555
CVS HEALTH CORP SR UNSECURED 04/50 4.25		4.250000	999,830	1,216,241
VISA INC SR UNSECURED 12/45 4.3		4.300000	798,664	1,012,136
MANULIFE FINANCIAL CORP SR UNSECURED 03/46 5.375		5.375000	498,225	705,484
AMERICAN INTL GROUP SR UNSECURED 07/45 4.8		4.800000	694,827	901,918
VMWARE INC SR UNSECURED 05/30 4.7		4.700000	1,096,073	1,282,833
BROADCOM INC COMPANY GUAR 11/30 4.15		4.150000	1,658,157	1,844,370
GE CAPITAL INTL FUNDING COMPANY GUAR 11/35 4.418		4.418000	1,051,857	1,235,061
STRYKER CORP SR UNSECURED 03/46 4.625		4.625000	597,117	773,717
CME GROUP INC SR UNSECURED 09/43 5.3		5.300000	524,120	698,404
CROWN CASTLE INTL CORP SR UNSECURED 02/49 5.2		5.200000	600,148	774,349
MASS INSTITUTE OF TECH UNSECURED 07/16 3.885		3.885000	1,488,569	1,662,123
TESCO PROPERTY FIN 1 PLC SR SECURED REGS 07/39 7.6227		7.622700	475,785	643,500
DUKE ENERGY CORP SR UNSECURED 12/45 4.8		4.800000	697,648	864,138
DELL INT LLC / EMC CORP SR UNSECURED 10/29 5.3		5.300000	891,889	1,056,930
ELECTRICITE DE FRANCE SA SR UNSECURED 144A 10/45 4.95		4.950000	644,880	807,399
DEUTSCHE BANK NY SUBORDINATED 01/32 VAR		3.729000	6,811,581	6,967,251
TEACHERS INSUR + ANNUITY SUBORDINATED 144A 05/47 4.27		4.270000	697,760	851,030
BROOKFIELD FINANCE INC COMPANY GUAR 04/30 4.35		4.350000	1,098,883	1,242,780
DELL INT LLC / EMC CORP SR UNSECURED 06/26 6.02		6.020000	898,195	1,041,815
CVS HEALTH CORP SR UNSECURED 03/48 5.05		5.050000	574,774	716,138
KINDER MORGAN ENER PART COMPANY GUAR 03/43 5		5.000000	796,176	936,251
MOODY S CORPORATION SR UNSECURED 07/44 5.25		5.250000	406,652	546,333
HSBC HOLDINGS PLC JR SUBORDINA 12/99 VAR		6.500000	2,730,025	2,868,723
ANTHEM INC SR UNSECURED 03/48 4.55		4.550000	492,318	628,031
ENERGY TRANSFER LP SR UNSECURED 02/43 5.15		5.150000	312,948	443,391
BARCLAYS PLC JR SUBORDINA 12/99 VAR		8.000000	1,200,000	1,329,336
VALE OVERSEAS LIMITED COMPANY GUAR 11/39 6.875		6.875000	812,000	940,961
WILLIAMS COMPANIES INC SR UNSECURED 03/44 5.4		5.400000	247,125	374,974
ANHEUSER BUSCH INBEV WOR COMPANY GUAR 04/48 4.6		4.600000	794,741	921,185
HCA INC COMPANY GUAR 06/47 5.5		5.500000	400,000	526,293
HOLCIM CAPITAL CORP COMPANY GUAR 144A 09/43 6.5		6.500000	316,626	442,661
ENTERPRISE PRODUCTS OPER COMPANY GUAR 02/48 4.25		4.250000	898,785	1,024,660
BRISTOL MYERS SQUIBB CO SR UNSECURED 10/49 4.25		4.250000	495,790	621,634
SOUTHERN CALIF GAS CO 1ST MORTGAGE 01/49 4.3		4.300000	499,775	625,116
CHARTER COMM OPT LLC/CAP SR SECURED 04/48 5.75		5.750000	379,880	501,461
JPMORGAN CHASE + CO SR UNSECURED 02/48 VAR		4.260000	500,451	620,961
GOLDMAN SACHS GROUP INC SR UNSECURED 04/39 VAR		4.411000	600,000	719,692
WASHINGTON GAS LIGHT CO SR UNSECURED 09/49 3.65		3.650000	897,234	1,016,124
KINDER MORGAN ENER PART COMPANY GUAR 03/41 6.375		6.375000	748,469	865,580

Rio Tinto America Inc. Retirement Plan Trust

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CON EDISON CO OF NY INC SR UNSECURED 12/45 4.5		4.500000	599,400	712,757
COMCAST CORP COMPANY GUAR 11/49 3.999		3.999000	599,675	709,981
CARLYLE FINANCE LLC COMPANY GUAR 144A 09/48 5.65		5.650000	299,742	409,889
T MOBILE USA INC SR SECURED 04/50 4.5		4.500000	597,450	705,678
KINDER MORGAN ENER PART COMPANY GUAR 03/44 5.5		5.500000	446,463	554,673
CHARTER COMM OPT LLC/CAP SR SECURED 10/35 6.384		6.384000	1,038,618	1,143,831
AMERICAN FINANCIAL GROUP SR UNSECURED 06/47 4.5		4.500000	611,330	716,447
HOME DEPOT INC SR UNSECURED 02/44 4.875		4.875000	295,518	397,715
SOUTHERN CAL EDISON 1ST REF MORT 04/47 4		4.000000	1,549,840	1,651,974
TIME WARNER CABLE LLC SR SECURED 09/42 4.5		4.500000	648,312	750,424
FORD MOTOR CREDIT CO LLC SR UNSECURED 11/23 3.37		3.370000	3,099,628	3,200,750
HESS CORP SR UNSECURED 01/40 6		6.000000	410,136	510,149
BACARDI LTD COMPANY GUAR 144A 05/38 5.15		5.150000	398,552	496,938
FAIRFAX FINL HLDGS LTD SR UNSECURED 04/30 4.625		4.625000	800,000	897,885
ANHEUSER BUSCH INBEV WOR COMPANY GUAR 01/39 5.45		5.450000	299,166	394,242
CITIGROUP INC SR UNSECURED 04/26 VAR		3.106000	1,900,000	1,993,948
FEDEX CORP COMPANY GUAR 11/45 4.75		4.750000	396,316	490,092
PFIZER INC SR UNSECURED 09/40 5.6		5.600000	470,924	564,571
SABINE PASS LIQUEFACTION SR SECURED 03/25 5.625		5.625000	825,000	916,915
BAT CAPITAL CORP COMPANY GUAR 08/37 4.39		4.390000	886,546	978,427
HCA INC COMPANY GUAR 06/49 5.25		5.250000	295,584	387,285
COX COMMUNICATIONS INC SR UNSECURED 144A 02/35 4.8		4.800000	499,820	591,089
VERIZON COMMUNICATIONS SR UNSECURED 03/41 3.4		3.400000	1,699,014	1,787,897
DUKE ENERGY PROGRESS LLC 1ST MORTGAGE 10/46 3.7		3.700000	698,215	786,266
BOEING CO SR UNSECURED 02/28 3.25		3.250000	1,999,560	2,087,296
NBCUNIVERSAL MEDIA LLC COMPANY GUAR 01/43 4.45		4.450000	361,157	447,291
BNP PARIBAS SR UNSECURED 144A 01/31 VAR		3.052000	2,800,000	2,886,105
NEW YORK LIFE INSURANCE SUBORDINATED 144A 05/69 4.45		4.450000	299,682	385,261
LLOYDS BANKING GROUP PLC SR UNSECURED 08/28 4.55		4.550000	598,188	683,514
CIGNA CORP COMPANY GUAR 12/48 4.9		4.900000	713,988	799,301
T MOBILE USA INC SR SECURED 04/40 4.375		4.375000	490,125	573,968
CHARLES SCHWAB CORP JR SUBORDINA 12/99 VAR		5.375000	900,000	983,250
ENTERGY LOUISIANA LLC COLLATERAL T 04/50 4.2		4.200000	397,172	478,879
PRUDENTIAL FINANCIAL INC SR UNSECURED 02/50 4.35		4.350000	752,991	834,595
WELLS FARGO + COMPANY JR SUBORDINA 12/99 VAR		3.900000	3,003,851	3,084,375
VODAFONE GROUP PLC SR UNSECURED 05/38 5		5.000000	294,312	374,481
NATWEST GROUP PLC SR UNSECURED 01/30 VAR		5.076000	501,164	580,881
WEYERHAEUSER CO SR UNSECURED 04/30 4		4.000000	590,820	670,487
BERKSHIRE HATHAWAY ENERG SR UNSECURED 02/45 4.5		4.500000	346,994	426,275
DUKE ENERGY CORP SR UNSECURED 08/47 3.95		3.950000	366,072	444,673
CON EDISON CO OF NY INC SR UNSECURED 04/50 3.95		3.950000	496,690	574,840
PACIFIC LIFE INSURANCE C SUBORDINATED 144A 10/67 VAR		4.300000	498,143	575,942
AERCAP IRELAND CAP/GLOBA COMPANY GUAR 02/24 3.15		3.150000	1,986,580	2,064,009
XLIT LTD COMPANY GUAR 03/45 5.5		5.500000	198,230	275,451
BANCO SANTANDER SA SR UNSECURED 05/25 2.746		2.746000	2,200,000	2,276,698
MARSH + MCLENNAN COS INC SR UNSECURED 03/39 4.75		4.750000	299,733	375,708
NEWMONT CORP COMPANY GUAR 06/44 5.45		5.450000	459,744	535,517
SOUTHWESTERN ELEC POWER SR UNSECURED 03/40 6.2		6.200000	622,770	696,273
MASS INSTITUTE OF TECH UNSECURED 12/99 5.6		5.600000	588,549	661,930
ORACLE CORP SR UNSECURED 03/41 3.65		3.650000	3,277,758	3,350,142
CONAGRA BRANDS INC SR UNSECURED 11/38 5.3		5.300000	310,113	381,207
ANTHEM INC SR UNSECURED 12/47 4.375		4.375000	419,147	489,976
CITIZENS FINANCIAL GROUP JR SUBORDINA 12/99 VAR		5.650000	696,950	767,375

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BROOKFIELD FINANCE INC COMPANY GUAR 09/47 4.7		4.700000	300,401	370,546
ENERGY TRANSFER LP SR UNSECURED 02/42 6.5		6.500000	189,312	258,882
KILROY REALTY LP COMPANY GUAR 02/30 3.05		3.050000	757,114	826,564
ALABAMA POWER CO SR UNSECURED 07/48 4.3		4.300000	297,741	365,696
UNITEDHEALTH GROUP INC SR UNSECURED 08/49 3.7		3.700000	430,237	497,891
OHIO NAT FINANCIAL SRVS SR UNSECURED 144A 01/30 5.8		5.800000	499,660	567,230
APTIV PLC COMPANY GUAR 03/49 5.4		5.400000	199,116	266,422
BERKSHIRE HATHAWAY ENERG SR UNSECURED 07/48 3.8		3.800000	495,885	563,157
ABBVIE INC SR UNSECURED 05/46 4.45		4.450000	297,984	364,866
ANHEUSER BUSCH INBEV WOR COMPANY GUAR 04/58 4.75		4.750000	307,017	373,443
AMGEN INC SR UNSECURED 10/41 4.95		4.950000	310,506	376,590
SOUTHERN CAL EDISON 1ST REF MORT 03/43 3.9		3.900000	363,141	429,170
UNITEDHEALTH GROUP INC SR UNSECURED 12/48 4.45		4.450000	704,400	770,212
CHENIERE CORP CHRISTI HD SR SECURED 06/27 5.125		5.125000	500,000	564,873
L3HARRIS TECH INC SR UNSECURED 04/45 5.054		5.054000	200,000	264,074
SUZANO AUSTRIA GMBH COMPANY GUAR 144A 03/47 7		7.000000	190,988	253,655
NATWEST GROUP PLC SR UNSECURED 05/30 VAR		4.445000	500,000	562,587
CONNECTICUT LIGHT + PWR 1ST REF MORT 04/48 4		4.000000	299,271	361,026
UNICREDIT SPA JR SUBORDINA REGS 12/99 VAR		7.500000	1,578,360	1,639,371
TENCENT HOLDINGS LTD SR UNSECURED 144A 04/41 3.68		3.680000	2,543,875	2,604,880
POTOMAC ELECTRIC POWER 1ST MORTGAGE 03/43 4.15		4.150000	408,128	468,128
OCCIDENTAL PETROLEUM COR SR UNSECURED 09/36 6.45		6.450000	712,594	772,582
HUDSON PACIFIC PROPRTIE COMPANY GUAR 04/29 4.65		4.650000	506,230	566,151
CHARTER COMM OPT LLC/CAP SR SECURED 05/47 5.375		5.375000	300,339	359,967
FLORIDA POWER + LIGHT CO 1ST MORTGAGE 03/48 3.95		3.950000	298,380	357,913
SOUTHERN CAL EDISON 1ST REF MORT 03/48 4.125		4.125000	280,055	338,474
PERTAMINA PERSERO PT SR UNSECURED 144A 05/42 6		6.000000	2,133,802	2,192,035
SOUTHERN CAL EDISON 1ST REF MORT 01/34 6		6.000000	1,242,920	1,300,430
GENERAL MOTORS CO SR UNSECURED 04/48 5.4		5.400000	199,854	256,593
UBS GROUP AG SR UNSECURED 144A 04/26 4.125		4.125000	598,674	655,219
NORFOLK SOUTHERN CORP SR UNSECURED 01/46 4.65		4.650000	198,654	255,042
REYNOLDS AMERICAN INC COMPANY GUAR 08/45 5.85		5.850000	310,265	366,327
AMAZON.COM INC SR UNSECURED 05/41 2.875		2.875000	1,195,476	1,251,366
KANSAS CITY SOUTHERN COMPANY GUAR 05/50 3.5		3.500000	694,456	750,017
ABBVIE INC SR UNSECURED 05/35 4.5		4.500000	521,600	576,766
GLP CAPITAL LP / FIN II COMPANY GUAR 01/29 5.3		5.300000	399,940	454,644
MICRON TECHNOLOGY INC SR UNSECURED 02/30 4.663		4.663000	349,979	403,881
MARRIOTT INTERNATIONAL SR UNSECURED 06/30 4.625		4.625000	397,516	450,882
AMERICAN AIRLINES/AADVAN SR SECURED 144A 04/26 5.5		5.500000	1,821,500	1,874,574
GOLDMAN SACHS GROUP INC SUBORDINATED 05/45 5.15		5.150000	509,567	561,895
CITIGROUP INC SR UNSECURED 04/29 VAR		4.075000	500,000	552,268
DELL INT LLC / EMC CORP SR UNSECURED 10/26 4.9		4.900000	398,972	451,061
UDR INC COMPANY GUAR 07/27 3.5		3.500000	698,348	750,303
UNUM GROUP SR UNSECURED 08/42 5.75		5.750000	317,016	368,953
EQUITABLE HOLDINGS INC SR UNSECURED 04/48 5		5.000000	199,414	251,203
DEUTSCHE BANK NY SR UNSECURED 11/25 VAR		3.961000	900,000	951,234
TESCO PROPERTY FIN 5 PLC SR SECURED REGS 10/41 5.6611		5.661100	120,459	171,602
BARCLAYS PLC JR SUBORDINA REGS 12/99 VAR		7.250000	516,544	567,553
CREDIT SUISSE AG SUBORDINATED 144A 08/23 6.5		6.500000	704,200	755,059
CYRUSONE LP/CYRUSONE FIN COMPANY GUAR 11/29 3.45		3.450000	598,254	648,381
ENTERGY MISSISSIPPI LLC 1ST MORTGAGE 06/51 3.5		3.500000	709,639	759,673
GOODMAN US FIN FOUR COMPANY GUAR 144A 10/37 4.5		4.500000	299,520	349,508
MPLX LP SR UNSECURED 04/58 4.9		4.900000	181,944	231,750

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EMERA US FINANCE LP COMPANY GUAR 06/46 4.75		4.750000	305,804	355,362
HSBC HOLDINGS PLC SR UNSECURED 03/26 4.3		4.300000	499,275	548,687
TRUST FIBRAUNO SR UNSECURED 144A 01/50 6.39		6.390000	418,750	467,804
CONSTELLATION BRANDS INC COMPANY GUAR 02/48 4.1		4.100000	390,960	439,073
BAYER US FINANCE II LLC COMPANY GUAR 144A 06/48 4.875		4.875000	199,312	247,201
ONCOR ELECTRIC DELIVERY SR SECURED 04/45 3.75		3.750000	1,069,508	1,117,394
NISOURCE INC SR UNSECURED 02/45 5.65		5.650000	359,718	407,248
ANHEUSER BUSCH INBEV WOR COMPANY GUAR 01/49 5.55		5.550000	613,624	660,870
AVALONBAY COMMUNITIES SR UNSECURED 07/47 4.15		4.150000	199,998	247,137
BANK OF AMERICA CORP JR SUBORDINA 12/99 VAR		5.875000	398,726	445,500
TRUST F/1401 SR UNSECURED 144A 01/44 6.95		6.950000	198,250	244,781
KANSAS CITY SOUTHERN COMPANY GUAR 08/45 4.95		4.950000	337,577	384,038
SOUTHERN CAL EDISON 1ST MORTGAGE 06/51 3.65		3.650000	498,830	545,058
ORACLE CORP SR UNSECURED 03/61 4.1		4.100000	898,236	944,345
OGLETHORPE POWER CORP 1ST MORTGAGE 11/40 5.375		5.375000	717,340	763,162
KKR GROUP FINANCE CO VII COMPANY GUAR 144A 02/50 3.625		3.625000	386,662	432,260
ORACLE CORP SR UNSECURED 03/51 3.95		3.950000	998,250	1,043,745
NORFOLK SOUTHERN CORP SR UNSECURED 08/52 4.05		4.050000	221,305	266,252
ALLY FINANCIAL INC SR UNSECURED 11/31 8		8.000000	781,825	826,457
NORTHROP GRUMMAN CORP SR UNSECURED 10/47 4.03		4.030000	607,763	652,096
FORD MOTOR CREDIT CO LLC SR UNSECURED 03/24 5.584		5.584000	603,084	647,253
REGENCY CENTERS LP COMPANY GUAR 02/47 4.4		4.400000	322,952	367,050
NXP BV/NXP FDG/NXP USA COMPANY GUAR 144A 05/27 3.15		3.150000	798,408	842,394
AP MOLLER MAERSK A/S SR UNSECURED 144A 06/29 4.5		4.500000	298,164	342,020
SABINE PASS LIQUEFACTION SR SECURED 06/26 5.875		5.875000	300,866	344,683
CLECO CORPORATE HOLDINGS SR SECURED 05/46 4.973		4.973000	200,000	243,659
DIGITAL REALTY TRUST LP COMPANY GUAR 10/25 4.75		4.750000	400,000	443,385
STICHTING AK RABOBANK JR SUBORDINA REGS 12/49 VAR		6.500000	121,591	164,620
MASS MUTUAL LIFE INS CO SUBORDINATED 144A 10/70 3.729		3.729000	228,379	271,168
PFIZER INC SR UNSECURED 03/49 4		4.000000	698,530	741,215
DELTA AIR LINES INC SR SECURED 144A 05/25 7		7.000000	293,000	335,411
CONSUMERS ENERGY CO 1ST MORTGAGE 05/48 4.05		4.050000	197,942	240,019
FMR LLC SR UNSECURED 144A 11/39 6.45		6.450000	322,385	364,338
PUBLIC SERVICE COLORADO 1ST MORTGAGE 06/47 3.8		3.800000	298,776	340,423
SPRINT SPECTRUM / SPEC I SR SECURED 144A 09/29 5.152		5.152000	400,000	441,590
GREAT WEST LIFECO FINANC COMPANY GUAR 144A 06/47 4.15		4.150000	198,436	239,634
SAN DIEGO G + E 1ST MORTGAGE 05/48 4.15		4.150000	313,249	354,199
AMERICAN ASSETS TRUST LP COMPANY GUAR 02/31 3.375		3.375000	1,187,220	1,227,954
ROCKIES EXPRESS PIPELINE SR UNSECURED 144A 05/30 4.8		4.800000	899,406	939,614
BAYER US FINANCE II LLC COMPANY GUAR 144A 12/28 4.375		4.375000	295,596	335,652
CITIGROUP INC SR UNSECURED 07/28 VAR		3.668000	500,000	540,039
WELLS FARGO + COMPANY SUBORDINATED 12/46 4.75		4.750000	637,982	677,719
FISERV INC SR UNSECURED 07/29 3.5		3.500000	499,160	538,724
LLOYDS BANKING GROUP PLC JR SUBORDINA 12/99 VAR		7.500000	300,000	339,323
NIPPON LIFE INSURANCE SUBORDINATED 144A 10/44 VAR		5.100000	500,000	538,988
FEDEX CORP COMPANY GUAR 01/44 5.1		5.100000	267,333	306,157
NATWEST GROUP PLC JR SUBORDINA 12/99 VAR		6.000000	400,000	438,728
AMERICAN TOWER CORP SR UNSECURED 10/49 3.7		3.700000	1,248,610	1,287,009
MICRON TECHNOLOGY INC SR UNSECURED 02/29 5.327		5.327000	199,020	237,210
PUGET SOUND ENERGY INC 1ST MORTGAGE 06/48 4.223		4.223000	200,000	237,849
MPT OPER PARTNERSP/FINL COMPANY GUAR 06/28 3.692		3.692000	387,697	425,204
BROADCOM INC SR UNSECURED 144A 04/34 3.469		3.469000	1,074,131	1,111,611
SANTANDER UK GROUP HLDGS SR UNSECURED 11/28 VAR		3.823000	500,000	537,438

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SOUTHERN CO GAS CAPITAL COMPANY	GUAR 05/47 4.4	4.400000	313,419	350,851
ZOETIS INC SR UNSECURED	09/47 3.95	3.950000	198,816	236,244
SEMPRA ENERGY SR UNSECURED	02/48 4	4.000000	343,095	380,493
WELLS FARGO + COMPANY SR UNSECURED	05/28 VAR	3.584000	608,628	645,908
NISOURCE INC SR UNSECURED	05/47 4.375	4.375000	199,836	236,876
VIRGIN MEDIA SECURED FIN SR SECURED REGS	01/30 4.25	4.250000	366,690	403,608
HOST HOTELS + RESORTS LP SR UNSECURED	09/30 3.5	3.500000	786,136	822,999
JPMORGAN CHASE + CO JR SUBORDINA	12/99 VAR	4.600000	1,300,000	1,335,750
BAT CAPITAL CORP COMPANY GUAR	09/49 4.758	4.758000	369,270	404,939
HSBC HOLDINGS PLC SR UNSECURED	03/30 4.95	4.950000	199,750	235,136
HILTON DOMESTIC OPERATIN COMPANY GUAR	01/30 4.875	4.875000	500,000	535,145
SAN DIEGO G + E 1ST MORTGAGE	06/49 4.1	4.100000	441,148	475,934
OMEGA HLTHCARE INVESTORS COMPANY GUAR	01/28 4.75	4.750000	296,934	331,652
GILEAD SCIENCES INC SR UNSECURED	03/46 4.75	4.750000	188,245	222,958
BANK OF AMERICA CORP SR UNSECURED	07/52 VAR	2.972000	3,600,000	3,634,405
SYNGENTA FINANCE NV COMPANY GUAR	144A 04/28 5.182	5.182000	303,063	337,324
SUZANO AUSTRIA GMBH COMPANY GUAR	01/29 6	6.000000	198,128	231,800
WELLS FARGO + COMPANY JR SUBORDINA	12/49 VAR	5.900000	1,655,610	1,689,224
CAMPBELL SOUP CO SR UNSECURED	03/48 4.8	4.800000	116,845	150,374
KENTUCKY UTILITIES CO 1ST MORTGAGE	10/45 4.375	4.375000	203,690	237,207
ENERGY TRANSFER LP SR UNSECURED	04/49 6.25	6.250000	255,591	288,796
CREDIT SUISSE GROUP AG JR SUBORDINA	144A 12/99 VAR	7.250000	516,500	549,515
FARMERS INS EXCH SUBORDINATED	144A 11/57 VAR	4.747000	198,990	231,989
CELULOSE ARAUCO CONSTITU SR UNSECURED	11/47 5.5	5.500000	199,416	232,330
VODAFONE GROUP PLC SR UNSECURED	09/50 4.25	4.250000	240,322	272,929
DIAMONDBACK ENERGY INC COMPANY GUAR	03/31 3.125	3.125000	896,931	929,522
AMERICAN TOWER CORP SR UNSECURED	08/29 3.8	3.800000	621,654	653,971
BAIDU INC SR UNSECURED	04/25 3.075	3.075000	798,344	830,525
REGENCY CENTERS LP COMPANY GUAR	03/49 4.65	4.650000	561,469	593,513
CENTERPOINT ENERGY RES SR UNSECURED	09/47 4.1	4.100000	198,834	230,592
SANTANDER HOLDINGS USA SR UNSECURED	06/25 3.45	3.450000	598,824	630,258
FORD MOTOR CREDIT CO LLC SR UNSECURED	05/29 5.113	5.113000	247,831	278,801
ONEOK PARTNERS LP COMPANY GUAR	02/41 6.125	6.125000	222,731	253,504
IPALCO ENTERPRISES INC SR SECURED	05/30 4.25	4.250000	299,727	330,268
BGC PARTNERS INC SR UNSECURED	07/23 5.375	5.375000	497,580	527,908
WELLS FARGO + COMPANY SR UNSECURED	01/29 4.15	4.150000	614,629	644,743
AMERICAN TRANSMISSION SY SR UNSECURED	144A 09/44 5	5.000000	99,007	129,000
PRUDENTIAL FINANCIAL INC SR UNSECURED	03/51 3.7	3.700000	198,636	228,603
IDAHO POWER CO 1ST MORTGAGE	03/48 4.2	4.200000	341,289	371,209
WELLS FARGO + COMPANY SR UNSECURED	02/31 VAR	2.572000	1,300,000	1,329,845
INDIANA MICHIGAN POWER SR UNSECURED	08/48 4.25	4.250000	799,920	829,640
S+P GLOBAL INC COMPANY GUAR	12/49 3.25	3.250000	297,720	327,316
HIGHWOODS REALTY LP SR UNSECURED	04/29 4.2	4.200000	523,495	553,045
CVS PASS THROUGH TRUST PASS THRU CE	01/30 6.943	6.943000	620,334	649,778
FLEX LTD SR UNSECURED	05/30 4.875	4.875000	199,124	228,526
MARATHON OIL CORP SR UNSECURED	06/45 5.2	5.200000	277,445	306,763
NORFOLK SOUTHERN CORP SR UNSECURED	05/55 3.155	3.155000	616,651	645,969
UBS GROUP AG JR SUBORDINA REGS	12/49 VAR	7.000000	528,750	558,000
PHYSICIANS REALTY LP COMPANY GUAR	01/28 3.95	3.950000	189,682	218,836
NATWEST GROUP PLC SR UNSECURED	05/29 VAR	4.892000	200,000	229,104
SOUTHERN CAL EDISON 1ST REF MORT	04/35 5.75	5.750000	100,118	129,046
NORTHERN STATES PWR MINN 1ST MORTGAGE	03/50 2.9	2.900000	692,714	721,621
VODAFONE GROUP PLC SR UNSECURED	06/49 4.875	4.875000	98,251	126,855

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BRISTOL MYERS SQUIBB CO SR UNSECURED 08/45 5		5.000000	73,234	101,490
LIVE NATION ENTERTAINMEN SR SECURED 144A 05/27 6.5		6.500000	300,250	328,487
BOSTON SCIENTIFIC CORP SR UNSECURED 06/30 2.65		2.650000	1,198,212	1,225,900
PUBLIC SERVICE COLORADO 1ST MORTGAGE 09/49 4.05		4.050000	843,946	871,491
SABAL TRAIL TRANS SR UNSECURED 144A 05/38 4.682		4.682000	331,568	358,886
GIP II BLUE HOLDING L P TERM LOAN B		0.000000	1,871,500	1,898,813
EQUINOR ASA COMPANY GUAR 05/43 3.95		3.950000	534,058	560,946
CAMERON LNG LLC SR SECURED 144A 07/31 2.902		2.902000	599,319	626,139
ALEXANDRIA REAL ESTATE E COMPANY GUAR 08/31 3.375		3.375000	367,279	393,873
GUARDIAN LIFE INSURANCE SUBORDINATED 144A 01/70 3.7		3.700000	194,354	220,931
TIME WARNER CABLE LLC SR SECURED 06/39 6.75		6.750000	383,874	410,395
QATAR ENERGY SR UNSECURED 144A 07/51 3.3		3.300000	800,000	826,422
BLACK HILLS CORP SR UNSECURED 09/46 4.2		4.200000	201,592	227,992
FOX CORP SR UNSECURED 01/49 5.576		5.576000	262,051	288,245
PUBLIC SERVICE ELECTRIC 1ST MORTGAGE 12/47 3.6		3.600000	199,854	225,831
MCDONALD S CORP SR UNSECURED 09/49 3.625		3.625000	196,150	222,122
AIA GROUP LTD SR UNSECURED 144A 04/30 3.375		3.375000	299,118	324,808
HUDSON PACIFIC PROPERTIE COMPANY GUAR 01/30 3.25		3.250000	182,352	207,966
GOODMAN US FIN THREE COMPANY GUAR 144A 03/28 3.7		3.700000	298,893	324,439
FIDELITY NATL FINANCIAL SR UNSECURED 09/22 5.5		5.500000	1,058,019	1,083,537
MGM RESORTS INTL COMPANY GUAR 06/25 5.75		5.750000	329,000	354,415
US BANCORP JR SUBORDINA 12/99 VAR		5.300000	300,000	324,861
MCDONALD S CORP SR UNSECURED 03/47 4.45		4.450000	312,678	337,371
AERCAP IRELAND CAP/GLOBA COMPANY GUAR 10/28 3		3.000000	1,397,452	1,422,103
KINDER MORGAN ENER PART COMPANY GUAR 01/38 6.95		6.950000	114,694	138,889
BRISTOL MYERS SQUIBB CO SR UNSECURED 11/47 4.35		4.350000	99,733	123,883
BOSTON PROPERTIES LP SR UNSECURED 03/30 2.9		2.900000	690,305	714,312
FORTUNE BRANDS HOME + SE SR UNSECURED 06/25 4		4.000000	298,071	322,014
DOMINION ENERGY SOUTH 1ST MORTGAGE 06/65 5.1		5.100000	214,077	237,842
HIGH STREET FDG TRUST II SR UNSECURED 144A 02/48 4.682		4.682000	100,000	123,420
ALEXANDRIA REAL ESTATE E COMPANY GUAR 02/50 4		4.000000	358,156	381,450
ERP OPERATING LP SR UNSECURED 08/47 4		4.000000	97,726	121,000
INTERCONTINENTALEXCHANGE SR UNSECURED 09/48 4.25		4.250000	99,288	122,540
UNION PACIFIC CORP SR UNSECURED 08/39 3.55		3.550000	199,430	222,663
RAYTHEON TECH CORP SR UNSECURED 11/38 4.45		4.450000	769,789	792,916
JPMORGAN CHASE + CO SR UNSECURED 10/30 VAR		2.739000	728,564	751,542
LOUISVILLE GAS + ELEC 1ST MORTGAGE 04/49 4.25		4.250000	99,882	122,790
BAT CAPITAL CORP COMPANY GUAR 08/47 4.54		4.540000	213,903	236,591
L3HARRIS TECH INC SR UNSECURED 04/35 4.854		4.854000	100,000	122,521
AMERICAN TOWER CORP SR UNSECURED 10/26 3.375		3.375000	297,012	319,140
MITSUBISHI UFJ FIN GRP SR UNSECURED 03/39 4.153		4.153000	441,103	463,117
CHARLES SCHWAB CORP JR SUBORDINA 12/99 VAR		4.000000	2,000,600	2,022,500
TYSON FOODS INC SR UNSECURED 09/48 5.1		5.100000	147,278	169,092
DISCOVER FINANCIAL SVS JR SUBORDINA 12/99 VAR		5.500000	300,000	321,750
SOUTHERN CAL EDISON 1ST REF MORT 10/43 4.65		4.650000	917,234	938,977
HCA INC COMPANY GUAR 07/51 3.5		3.500000	696,507	717,994
HSBC BANK USA NA SUBORDINATED 01/39 7		7.000000	251,706	273,038
ACTIVISION BLIZZARD SR UNSECURED 06/47 4.5		4.500000	220,053	241,277
STIFEL FINANCIAL CORP SR UNSECURED 05/30 4		4.000000	198,570	219,774
NOVARTIS CAPITAL CORP COMPANY GUAR 05/44 4.4		4.400000	441,527	462,706
MARSH + MCLENNAN COS INC SR UNSECURED 03/48 4.2		4.200000	223,214	244,215
CDW LLC/CDW FINANCE COMPANY GUAR 12/31 3.569		3.569000	500,000	520,938
ROCKIES EXPRESS PIPELINE SR UNSECURED 144A 07/29 4.95		4.950000	299,478	320,316

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CONSTELLATION BRANDS INC COMPANY GUAR 11/48 5.25		5.250000	223,225	243,853
AMERICAN TOWER CORP SR UNSECURED 03/29 3.95		3.950000	197,834	218,451
COMMONWEALTH EDISON CO 1ST MORTGAGE 03/48 4		4.000000	519,969	540,488
BOSTON SCIENTIFIC CORP SR UNSECURED 03/39 4.55		4.550000	772,613	792,876
NXP BV/NXP FUNDING LLC COMPANY GUAR 144A 12/28 5.55		5.550000	99,759	119,991
HILTON DOMESTIC OPERATIN COMPANY GUAR 144A 05/31 4		4.000000	800,000	820,192
NATIONWIDE BLDG SOCIETY SR UNSECURED 144A 07/30 VAR		3.960000	200,000	220,140
INTL FLAVOR + FRAGRANCES SR UNSECURED 144A 11/40 3.268		3.268000	999,940	1,020,059
DTE ELECTRIC CO GENL REF MOR 05/48 4.05		4.050000	99,551	119,656
BANK OF AMERICA CORP SR UNSECURED 04/40 VAR		4.078000	510,872	530,777
PARK AEROSPACE HOLDINGS COMPANY GUAR 144A 03/23 4.5		4.500000	610,000	629,803
NATIONWIDE BLDG SOCIETY SUBORDINATED 144A 09/26 4		4.000000	249,265	268,855
ENTERGY LOUISIANA LLC COLLATERAL T 04/28 3.25		3.250000	299,970	319,492
CITIGROUP INC JR SUBORDINA 07/49 VAR		5.950000	600,000	619,500
CSN RESOURCES SA COMPANY GUAR 144A 04/26 7.625		7.625000	296,022	315,317
HSBC HOLDINGS PLC JR SUBORDINA 12/99 VAR		5.875000	859,011	878,226
AADVANTAGE LOYALTY IP LTD 2021 TERM LOAN		0.000000	396,000	415,178
DISCOVERY COMMUNICATIONS COMPANY GUAR 09/55 4		4.000000	493,154	512,179
ENTERPRISE PRODUCTS OPER COMPANY GUAR 09/40 6.45		6.450000	120,075	139,041
ACTIVISION BLIZZARD SR UNSECURED 09/50 2.5		2.500000	422,095	441,000
VIRGINIA ELEC + POWER CO SR UNSECURED 12/48 4.6		4.600000	109,466	128,332
DELTA AIR LINES INC SR UNSECURED 01/26 7.375		7.375000	306,360	325,189
ESSEX PORTFOLIO LP COMPANY GUAR 01/30 3		3.000000	821,456	840,130
CAESARS ENTERTAIN INC SR SECURED 144A 07/25 6.25		6.250000	612,000	630,540
CITRIX SYSTEMS INC SR UNSECURED 03/30 3.3		3.300000	794,800	813,228
DELTA AIR LINES INC SR UNSECURED 10/29 3.75		3.750000	597,750	616,095
ARCH CAPITAL GROUP LTD SR UNSECURED 06/50 3.635		3.635000	245,487	263,798
MIDAMERICAN ENERGY CO 1ST MORTGAGE 10/44 4.4		4.400000	480,262	498,566
VMWARE INC SR UNSECURED 05/25 4.5		4.500000	199,898	218,043
BANCO BTG PACTUAL/CAYMAN SR UNSECURED REGS 01/23 5.5		5.500000	189,250	207,307
NATIONWIDE FINANCIAL SER COMPANY GUAR 144A 11/49 3.9		3.900000	99,508	117,452
TENCENT HOLDINGS LTD SR UNSECURED 144A 04/29 3.975		3.975000	199,934	217,847
SUMITOMO MITSUI FINL GRP SR UNSECURED 01/30 2.75		2.750000	700,000	717,910
ERAC USA FINANCE LLC COMPANY GUAR 144A 10/37 7		7.000000	130,389	147,890
MGM CHINA HOLDINGS LTD SR UNSECURED 144A 02/27 4.75		4.750000	776,000	793,284
HEINEKEN NV SR UNSECURED 144A 10/42 4		4.000000	100,613	117,816
WEA FINANCE LLC/WESTFIEL COMPANY GUAR 144A 09/44 4.75		4.750000	199,366	216,465
COMMONSPIRIT HEALTH SR SECURED 10/49 4.187		4.187000	100,000	117,074
AMEREN ILLINOIS CO 1ST MORTGAGE 03/49 4.5		4.500000	463,289	480,355
BARRICK NA FINANCE LLC COMPANY GUAR 09/38 7.5		7.500000	206,736	223,787
ENERGY TRANSFER LP SR UNSECURED 03/27 4.4		4.400000	199,230	216,090
ESSEX PORTFOLIO LP COMPANY GUAR 05/27 3.625		3.625000	198,846	215,572
NGPL PIPECO LLC SR UNSECURED 144A 12/37 7.768		7.768000	124,125	140,753
CCO HLDGS LLC/CAP CORP SR UNSECURED 144A 08/30 4.5		4.500000	650,000	666,403
CITIGROUP INC JR SUBORDINA 12/49 VAR		5.950000	332,200	348,563
COMCAST CORP COMPANY GUAR 07/46 3.4		3.400000	90,308	106,559
KINDER MORGAN ENER PART COMPANY GUAR 11/40 7.5		7.500000	351,918	367,898
MITSUBISHI UFJ FIN GRP SR UNSECURED 07/39 3.751		3.751000	245,973	261,944
CONSTELLATION EN GEN LLC SR UNSECURED 06/42 5.6		5.600000	672,744	688,591
ROCKCLIFF ENERGY II LLC SR UNSECURED 144A 10/29 5.5		5.500000	500,000	515,833
CENTENE CORP SR UNSECURED 12/27 4.25		4.250000	297,480	313,269
CONSTELLATION BRANDS INC COMPANY GUAR 05/47 4.5		4.500000	104,807	120,424
MPLX LP SR UNSECURED 12/47 5.2		5.200000	289,864	305,329

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QVC INC SR SECURED 03/43 5.95		5.950000	683,025	698,359
BAE SYSTEMS PLC SR UNSECURED 144A 04/30 3.4		3.400000	198,592	213,910
SHELL INTERNATIONAL FIN COMPANY GUAR 05/46 4		4.000000	347,334	362,598
JPMORGAN CHASE + CO JR SUBORDINA 12/99 VAR		4.000000	1,996,111	2,011,250
MIDAMERICAN ENERGY CO 1ST MORTGAGE 07/49 4.25		4.250000	431,822	446,884
WISCONSIN PUBLIC SERVICE SR UNSECURED 09/49 3.3		3.300000	199,770	214,792
GENERAL MOTORS CO SR UNSECURED 04/38 5.15		5.150000	81,835	96,812
NEWMONT CORP COMPANY GUAR 10/39 6.25		6.250000	230,225	245,078
ELECTRICITE DE FRANCE SA SR UNSECURED 144A 01/44 4.875		4.875000	166,412	181,115
ERP OPERATING LP SR UNSECURED 02/30 2.5		2.500000	602,070	616,768
TIME WARNER CABLE LLC SR SECURED 05/37 6.55		6.550000	169,169	183,844
JPMORGAN CHASE + CO SR UNSECURED 07/48 VAR		4.032000	234,716	249,373
WESTERN DIGITAL CORP COMPANY GUAR 02/26 4.75		4.750000	94,750	109,382
AERCAP IRELAND CAP/GLOBA COMPANY GUAR 01/25 3.5		3.500000	194,388	208,976
ROLLS ROYCE PLC COMPANY GUAR 144A 10/27 5.75		5.750000	760,250	774,830
VMWARE INC SR UNSECURED 08/27 3.9		3.900000	94,459	109,022
BARRICK GOLD CORP SR UNSECURED 10/35 6.45		6.450000	204,292	218,836
MASSACHUSETTS ELECTRIC SR UNSECURED 144A 11/39 5.9		5.900000	383,796	398,299
T MOBILE USA INC SR SECURED 144A 10/52 3.4		3.400000	2,187,284	2,201,590
SABINE PASS LIQUEFACTION SR SECURED 03/28 4.2		4.200000	205,108	219,406
SANTOS FINANCE LTD COMPANY GUAR 144A 04/31 3.649		3.649000	801,652	815,919
UNIVISION COMMUNICATIONS SR SECURED 144A 02/25 5.125		5.125000	188,000	202,249
DELTA AIR LINES INC SR UNSECURED 10/24 2.9		2.900000	394,000	408,179
ANHEUSER BUSCH INBEV WOR COMPANY GUAR 04/38 4.375		4.375000	244,559	258,698
TWDC ENTERPRISES 18 CORP COMPANY GUAR 07/46 3		3.000000	192,424	206,555
WEST FRASER TIMBER CO SR UNSECURED 144A 10/24 4.35		4.350000	200,000	214,023
IMPERIAL BRANDS FIN PLC COMPANY GUAR 144A 07/29 3.875		3.875000	198,266	212,265
LLOYDS BANK PLC SR UNSECURED REGS 04/32 VAR		7.500000	306,000	319,993
YARA INTERNATIONAL ASA SR UNSECURED 144A 06/28 4.75		4.750000	99,748	113,736
TENNESSEE GAS PIPELINE COMPANY GUAR 144A 03/30 2.9		2.900000	698,607	712,496
MINERA MEXICO SA DE CV SR UNSECURED 144A 01/50 4.5		4.500000	123,008	136,766
SOUTHERN CO SR UNSECURED 07/36 4.25		4.250000	99,579	113,196
CON EDISON CO OF NY INC SR UNSECURED 11/57 4		4.000000	100,694	114,135
TRANSCONT GAS PIPE LINE SR UNSECURED 05/50 3.95		3.950000	99,424	112,735
BANCO MERCANTIL DE NORTE JR SUBORDINA 144A VAR		7.500000	200,000	213,083
CITIGROUP INC SR UNSECURED 01/39 VAR		3.878000	215,388	228,396
CF INDUSTRIES INC COMPANY GUAR 03/44 5.375		5.375000	492,000	505,004
MORGAN STANLEY DOM HOLD COMPANY GUAR 06/28 4.5		4.500000	99,912	112,776
LEIDOS INC COMPANY GUAR 05/30 4.375		4.375000	98,716	111,556
MORGAN STANLEY SR UNSECURED 07/38 VAR		3.971000	227,525	240,322
OVINTIV INC COMPANY GUAR 11/31 7.2		7.200000	117,274	129,981
PACIFIC GAS + ELECTRIC 1ST MORTGAGE 07/50 4.95		4.950000	206,328	219,033
INTESA SANPAOLO SPA SUBORDINATED 144A 06/42 VAR		4.950000	400,000	412,661
BARCLAYS PLC SUBORDINATED 06/30 VAR		5.088000	555,602	568,204
CAESARS RESORT COLLECTION LLC 2020 TERM LOAN		0.000000	782,130	794,571
IRB HOLDING CORP 2020 FOURTH AMENDMENT INCRE TL		0.000000	1,078,110	1,090,530
GATX CORP SR UNSECURED 03/45 4.5		4.500000	103,621	115,934
HSBC HOLDINGS PLC SR UNSECURED 06/31 VAR		2.848000	900,000	912,304
WOODSIDE FINANCE LTD COMPANY GUAR 144A 03/29 4.5		4.500000	99,817	111,911
CF INDUSTRIES INC COMPANY GUAR 06/43 4.95		4.950000	954,000	966,052
WELLS FARGO + COMPANY SUBORDINATED 11/44 4.65		4.650000	267,909	279,907
STANDARD INDUSTRIES INC SR UNSECURED 144A 02/27 5		5.000000	91,250	103,064
TIME WARNER CABLE LLC SR SECURED 11/40 5.875		5.875000	113,749	125,329

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FORD MOTOR CREDIT CO LLC SR UNSECURED 05/23 3.096		3.096000	396,620	408,026
FORTRESS TRANS + INFRAST SR UNSECURED 144A 05/28 5.5		5.500000	703,500	714,749
AVOLON TLB BORROWER 1 (US) LLC 2021 TERM LOAN B5		0.000000	884,318	895,555
STANDARD INDUSTRIES INC SR UNSECURED 144A 01/28 4.75		4.750000	92,250	103,432
BANK OF AMERICA CORP SR UNSECURED 10/30 VAR		2.884000	319,994	331,065
VOLKSWAGEN GROUP AMERICA COMPANY GUAR 144A 05/25 3.35		3.350000	199,790	210,666
MORGAN STANLEY SR UNSECURED 01/45 4.3		4.300000	168,426	179,282
UNITED AIRLINES, INC. 2021 TERM LOAN B		0.000000	987,538	998,306
PENNYMAC FIN SVCS INC COMPANY GUAR 144A 09/31 5.75		5.750000	900,000	910,265
EQM MIDSTREAM PARTNERS L SR UNSECURED 12/26 4.125		4.125000	297,573	307,817
EQUIFAX INC SR UNSECURED 05/30 3.1		3.100000	199,620	209,779
CITIGROUP INC JR SUBORDINA 12/49 VAR		6.300000	200,000	210,126
CANTOR FITZGERALD LP UNSECURED 144A 06/22 6.5		6.500000	400,000	409,959
DTE ELECTRIC CO 1ST MORTGAGE 03/31 2.625		2.625000	299,496	309,453
NOMURA HOLDINGS INC SR UNSECURED 01/30 3.103		3.103000	300,000	309,878
AMERICAN TOWER CORP SR UNSECURED 01/27 3.125		3.125000	199,866	209,655
EDISON INTERNATIONAL JR SUBORDINA 12/99 VAR		5.000000	400,000	409,720
AMERICAN CAMPUS CMNTYS COMPANY GUAR 02/30 2.85		2.850000	399,240	408,928
CVS HEALTH CORP SR UNSECURED 03/28 4.3		4.300000	291,623	301,212
PROLOGIS LP SR UNSECURED 04/50 3		3.000000	197,872	207,387
KKR GROUP FIN CO X LLC COMPANY GUAR 144A 12/51 3.25		3.250000	1,976,297	1,985,784
PROSUS NV SR UNSECURED 144A 01/30 3.68		3.680000	300,000	309,355
DELTA AIR LINES/SKYMILES SR SECURED 144A 10/28 4.75		4.750000	100,000	109,347
INTERCONTINENTALEXCHANGE SR UNSECURED 06/50 3		3.000000	295,488	304,815
KAISER FOUNDATION HOSPIT COMPANY GUAR 11/49 3.266		3.266000	109,281	118,452
IMPERIAL BRANDS FIN PLC COMPANY GUAR 144A 07/26 3.5		3.500000	201,400	210,565
AMERICAN EXPRESS CO JR SUBORDINA 12/99 VAR		3.550000	2,700,000	2,709,113
PACIFIC LIFECORP SR UNSECURED 144A 09/50 3.35		3.350000	99,232	108,208
NISSAN MOTOR CO SR UNSECURED 144A 09/30 4.81		4.810000	663,474	672,386
CITIGROUP INC JR SUBORDINA 12/99 VAR		4.700000	700,000	708,890
BLOCK FINANCIAL LLC COMPANY GUAR 07/28 2.5		2.500000	1,194,484	1,203,262
BANK OF NY MELLON CORP JR SUBORDINA 12/99 VAR		4.700000	312,075	320,775
ELECTRICITE DE FRANCE SA SR UNSECURED 144A 10/35 4.75		4.750000	216,193	224,861
AMERICAN TRANSMISSION SY SR UNSECURED 144A 01/32 2.65		2.650000	598,344	606,956
EPR PROPERTIES COMPANY GUAR 12/26 4.75		4.750000	98,429	106,999
FORD MOTOR CREDIT CO LLC SR UNSECURED 10/22 3.55		3.550000	499,595	508,150
RENEW POWER PVT LTD SR SECURED 144A 03/27 5.875		5.875000	200,000	208,486
PETSMART INC/PETSMART FI SR SECURED 144A 02/28 4.75		4.750000	300,000	308,420
EVERGY KANSAS CENTRAL 1ST MORTGAGE 04/50 3.45		3.450000	99,591	107,872
JPMORGAN CHASE + CO SR UNSECURED 01/42 5.4		5.400000	217,178	225,440
SINOPEC GRP OVERSEA 2014 COMPANY GUAR REGS 04/24 4.375		4.375000	312,399	320,658
HOME DEPOT INC SR UNSECURED 06/47 3.9		3.900000	238,605	246,794
PACIFIC GAS + ELECTRIC SR SECURED 06/41 4.2		4.200000	598,248	606,424
STEEL DYNAMICS INC SR UNSECURED 12/24 2.8		2.800000	199,850	207,985
CENTERPOINT ENERGY INC JR SUBORDINA 12/99 VAR		6.125000	200,000	208,125
GILEAD SCIENCES INC SR UNSECURED 02/45 4.5		4.500000	108,403	116,433
CITIGROUP INC SR UNSECURED 11/30 VAR		2.976000	200,153	208,099
UBS AG LONDON SR UNSECURED 144A 06/48 4.5		4.500000	182,511	190,438
LIBERTY MUTUAL GROUP INC COMPANY GUAR 144A 10/50 3.951		3.951000	103,662	111,387
NY STATE ELECTRIC + GAS SR UNSECURED 144A 09/49 3.3		3.300000	202,530	210,189
ING GROEP NV JR SUBORDINA VAR		5.750000	423,333	430,834
ABBVIE INC SR UNSECURED 03/35 4.55		4.550000	276,320	283,789

Rio Tinto America Inc. Retirement Plan Trust

Schedule H, Line 4i - Schedule of Assets (Held at End of Year) - As of December 31, 2021

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Identity of Issuer, Borrower, Lessor or Similar Party	Description of Investment including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Interest Rate	Cost - Base	Market Value - Base
BROADCOM INC SR UNSECURED 144A 11/36 3.187		3.187000	783,688	791,099
PETROLEOS MEXICANOS COMPANY GUAR 144A 02/32 6.7		6.700000	786,051	793,388
STAR ENERGY GEOTHERMAL SR SECURED 144A 04/33 6.75		6.750000	176,630	183,920
ARES FINANCE CO II LLC COMPANY GUAR 144A 06/30 3.25		3.250000	199,542	206,819
UNIVISION COMMUNICATIONS 2017 REPLACEMENT REPRICED NEW		0.000000	340,529	347,799
SAUDI ARABIAN OIL CO SR UNSECURED 144A 04/49 4.375		4.375000	85,663	92,908
AVOLON HOLDINGS FNDG LTD COMPANY GUAR 144A 02/25 2.875		2.875000	299,643	306,798
HILTON DOMESTIC OPERATIN COMPANY GUAR 144A 05/29 3.75		3.750000	800,000	807,148
ARIZONA PUBLIC SERVICE SR UNSECURED 05/50 3.35		3.350000	249,006	256,150
GLOBAL PAYMENTS INC SR UNSECURED 05/30 2.9		2.900000	299,019	306,087
DH EUROPE FINANCE II COMPANY GUAR 11/39 3.25		3.250000	105,631	112,621
WALT DISNEY COMPANY/THE COMPANY GUAR 10/45 4.95		4.950000	563,786	570,605
CARNIVAL CORPORATION USD TERM LOAN B		0.000000	189,600	196,266
HSBC HOLDINGS PLC SR UNSECURED 05/30 VAR		3.973000	688,864	695,498
ORACLE CORP SR UNSECURED 11/47 4		4.000000	97,914	104,424
ARCHES BUYER INC 2021 TERM LOAN B		0.000000	1,372,140	1,378,557
TEXAS EASTERN TRANSMISSI SR UNSECURED 07/32 7		7.000000	326,247	332,639
WEYERHAEUSER CO SR UNSECURED 11/29 4		4.000000	105,628	111,957
BOEING CO SR UNSECURED 02/50 3.75		3.750000	187,409	193,477
DISH DBS CORP SR SECURED 144A 12/28 5.75		5.750000	500,000	505,938
JPMORGAN CHASE + CO SR UNSECURED 11/48 VAR		3.964000	94,372	100,283
DAIMLER TRUCKS FINAN NA COMPANY GUAR 144A 12/26 2		2.000000	597,390	603,293
CVS HEALTH CORP SR UNSECURED 08/26 3		3.000000	99,887	105,766
MARRIOTT INTERNATIONAL SR UNSECURED 10/32 3.5		3.500000	204,124	209,995
EPR PROPERTIES SR UNSECURED 08/29 3.75		3.750000	297,504	303,343
ALLSPRING BUYER LLC TERM LOAN B		0.000000	617,468	623,296
CONSTELLATION BRANDS INC COMPANY GUAR 08/29 3.15		3.150000	126,347	132,091
BANCO BRADESCO (CAYMAN) SR UNSECURED 144A 01/25 3.2		3.200000	400,000	405,696
RIO OIL FINANCE TRUST SR SECURED 144A 07/24 9.25		9.250000	242,015	247,627
JERSEY CENTRAL PWR + LT SR UNSECURED 144A 03/32 2.75		2.750000	299,178	304,731
CVS HEALTH CORP SR UNSECURED 07/45 5.125		5.125000	40,215	45,741
AMGEN INC SR UNSECURED 05/45 4.4		4.400000	66,546	71,999
LOCKHEED MARTIN CORP SR UNSECURED 09/41 4.85		4.850000	109,924	115,296
CONTINENTAL RESOURCES COMPANY GUAR 144A 01/31 5.75		5.750000	466,387	471,720
GENERAL MOTORS CO SR UNSECURED 10/43 6.25		6.250000	22,201	27,500
BRITISH TELECOMMUNICATIO SR UNSECURED 12/30 9.625		9.625000	141,546	146,724
BURLINGTN NORTH SANTA FE SR UNSECURED 09/44 4.55		4.550000	70,933	76,089
AIA GROUP LTD SUBORDINATED 144A 09/40 3.2		3.200000	199,678	204,833
JPMORGAN CHASE + CO SR UNSECURED 02/28 VAR		3.782000	428,437	433,579
CROWN CASTLE INTL CORP SR UNSECURED 05/47 4.75		4.750000	118,267	123,391
DAVITA INC COMPANY GUAR 144A 06/30 4.625		4.625000	200,000	205,112
SANDS CHINA LTD SR UNSECURED 01/26 3.8		3.800000	699,307	704,337
CHARLES SCHWAB CORP JR SUBORDINA 12/99 VAR		5.000000	99,000	103,967
UDR INC COMPANY GUAR 11/34 3.1		3.100000	203,132	208,072
SPIRIT AEROSYSTEMS INC SR SECURED 06/26 3.85		3.850000	97,514	102,356
LUMEN TECHNOLOGIES INC SR SECURED 144A 02/27 4		4.000000	300,000	304,740
WYNN MACAU LTD SR UNSECURED 144A 10/27 5.5		5.500000	367,667	372,400
WELLS FARGO + COMPANY SUBORDINATED 01/44 5.606		5.606000	104,084	108,782
STANDARD INDUSTRIES INC SR UNSECURED 144A 07/30 4.375		4.375000	404,125	408,758
CVS HEALTH CORP SR UNSECURED 08/29 3.25		3.250000	86,191	90,800
NATIONAL SECS CLEARING SR UNSECURED 144A 04/25 1.5		1.500000	499,015	503,588
GRINDING MEDIA INC 2021 TERM LOAN B		0.000000	794,010	798,499
WESTPAC BANKING CORP SUBORDINATED 07/39 4.421		4.421000	54,267	58,719

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ROGERS COMMUNICATIONS IN COMPANY GUAR 11/49 3.7		3.700000	95,892	100,343
DH EUROPE FINANCE II COMPANY GUAR 11/49 3.4		3.400000	60,536	64,717
MELCO RESORTS FINANCE SR UNSECURED 144A 07/28 5.75		5.750000	600,000	604,164
CUBESMART LP COMPANY GUAR 12/28 2.25		2.250000	597,090	601,119
AON CORP/AON GLOBAL HOLD COMPANY GUAR 12/31 2.6		2.600000	199,842	203,826
JAZZ FINANCING LUX SARL USD TERM LOAN		0.000000	396,010	399,966
ABBOTT LABORATORIES SR UNSECURED 11/36 4.75		4.750000	85,719	89,611
OGLETHORPE POWER CORP 1ST MORTGAGE 10/48 5.05		5.050000	40,615	44,492
AMERICAN WATER CAPITAL C SR UNSECURED 06/49 4.15		4.150000	79,264	83,133
SUMITOMO MITSUI FINL GRP SR UNSECURED 07/29 3.04		3.040000	147,597	151,422
CITIGROUP INC SR UNSECURED 10/28 VAR		3.520000	146,661	150,394
JPMORGAN CHASE + CO JR SUBORDINA 12/49 VAR		3.598630	339,985	343,712
SPRINT CORP COMPANY GUAR 09/23 7.875		7.875000	106,625	110,273
BROOKFIELD PPTY REIT INC SR SECURED 144A 05/26 5.75		5.750000	100,000	103,613
MITSUBISHI UFJ FIN GRP SR UNSECURED 10/32 VAR		2.494000	1,000,000	1,003,573
CROWN CASTLE INTL CORP SR UNSECURED 02/29 4.3		4.300000	108,306	111,822
YARA INTERNATIONAL ASA SR UNSECURED 144A 06/30 3.148		3.148000	100,000	103,383
SANTANDER UK GROUP HLDGS SR UNSECURED 03/32 VAR		2.896000	603,954	607,244
BANCO SANTANDER SA SR UNSECURED 06/29 3.306		3.306000	107,900	111,185
BOYNE USA INC SR UNSECURED 144A 05/29 4.75		4.750000	100,000	103,172
DEVON ENERGY CORPORATION SR UNSECURED 05/42 4.75		4.750000	229,620	232,686
INTELSAT JACKSON HLDGS S A TERM LOAN B 3		0.000000	297,000	300,062
AMERICAN WATER CAPITAL C SR UNSECURED 09/47 3.75		3.750000	58,753	61,705
ALLY FINANCIAL INC COMPANY GUAR 11/31 8		8.000000	1,132,016	1,134,938
BROADCOM INC SR UNSECURED 144A 11/35 3.137		3.137000	188,742	191,627
UNITED AIRLINES INC SR SECURED 144A 04/26 4.375		4.375000	206,000	208,810
AMERICAN TOWER CORP SR UNSECURED 06/30 2.1		2.100000	1,106,956	1,109,745
UDR INC COMPANY GUAR 01/30 3.2		3.200000	207,822	210,608
GREENKO SOLAR MAURITIUS SR SECURED REGS 01/25 5.55		5.550000	201,750	204,512
DEPOSITORY TRUST + CLEAR JR SUBORDINA 144A 12/99 VAR		3.375000	250,000	252,656
INTELSAT JACKSON HOLDINGS SA 2021 DIP TERM LOAN		0.000000	199,893	202,472
UDR INC COMPANY GUAR 08/31 3		3.000000	101,858	104,393
SETANTA AIRCRAFT LEASING DAC TERM LOAN B		0.000000	798,000	800,500
DT MIDSTREAM INC TERM LOAN B		0.000000	297,008	299,457
CREDIT SUISSE GROUP AG JR SUBORDINA 144A 12/99 VAR		5.100000	600,000	602,250
MARS INC COMPANY GUAR 144A 04/39 3.875		3.875000	55,945	58,080
TEMPO ACQUISITION LLC 2021 TERM LOAN B		0.000000	298,502	300,622
NISSAN MOTOR ACCEPTANCE SR UNSECURED 144A 07/22 2.65		2.650000	199,898	201,781
PETROLEOS MEXICANOS COMPANY GUAR 09/47 6.75		6.750000	1,056,730	1,058,475
DUKE ENERGY CAROLINAS 1ST REF MORT 03/46 3.875		3.875000	168,390	170,115
GOLDMAN SACHS GROUP INC SR UNSECURED 05/29 VAR		4.223000	70,901	72,317
FLEX LTD SR UNSECURED 06/25 4.75		4.750000	434,500	435,882
DISCOVERY COMMUNICATIONS COMPANY GUAR 09/47 5.2		5.200000	11,152	12,464
FLORIDA POWER + LIGHT CO 1ST MORTGAGE 10/49 3.15		3.150000	20,078	21,372
KINDER MORGAN INC COMPANY GUAR 02/46 5.05		5.050000	10,861	12,052
KINDER MORGAN INC COMPANY GUAR 06/45 5.55		5.550000	11,563	12,708
EXXON MOBIL CORPORATION SR UNSECURED 08/49 3.095		3.095000	39,722	40,802
SYNCHRONY FINANCIAL SR UNSECURED 10/31 2.875		2.875000	799,104	800,165
ENLINK MIDSTREAM PARTNER SR UNSECURED 06/47 5.45		5.450000	99,981	101,030
CITIGROUP INC SR UNSECURED 03/30 VAR		3.980000	48,763	49,764
ALIBABA GROUP HOLDING SR UNSECURED 12/57 4.4		4.400000	913,700	914,637
BOSTON SCIENTIFIC CORP SR UNSECURED 03/29 4		4.000000	227,121	228,055
OCCIDENTAL PETROLEUM COR SR UNSECURED 08/29 3.5		3.500000	40,205	41,107

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LOCKHEED MARTIN CORP SR UNSECURED 03/35 3.6		3.600000	21,570	22,418
MARRIOTT INTERNATIONAL SR UNSECURED 04/31 2.85		2.850000	698,635	699,365
AMERICA MOVIL SAB DE CV SR UNSECURED 07/42 4.375		4.375000	11,228	11,890
MARS INC COMPANY GUAR 144A 04/34 3.6		3.600000	55,313	55,945
BANCOLOMBIA SA SUBORDINATED 12/29 VAR		4.625000	400,000	400,606
EW SCRIPPS COMPANY THE 2019 TERM LOAN B2		0.000000	97,022	97,518
MORGAN STANLEY SR UNSECURED 01/30 VAR		4.431000	22,413	22,831
NISSAN MOTOR ACCEPTANCE SR UNSECURED 144A 03/24 VAR		0.830000	900,000	900,357
LXP INDUSTRIAL TRUST COMPANY GUAR 09/30 2.7		2.700000	396,932	397,261
DAIMLER FINANCE NA LLC COMPANY GUAR 144A 02/22 VAR		1.056000	300,000	300,271
ODEBRECHT OIL + FINANCE COMPANY GUAR 144A 12/99 0.0000		0.000000	32	292
SUNCOR ENERGY INC SR UNSECURED 05/38 6.8		6.800000	13,818	13,992
JPMORGAN CHASE + CO JR SUBORDINA 12/99 VAR		3.650000	1,000,000	1,000,000
AMERICAN MONEY MANAGEMENT CORP AMMC 2013 12A AR2 144A		1.095630	800,000	799,998
BANCO BTG PACTUAL/CAYMAN SR UNSECURED 144A 01/25 4.5		4.500000	303,000	302,988
LAS VEGAS SANDS CORP SR UNSECURED 06/25 2.9		2.900000	399,500	399,418
WILLIS NORTH AMERICA INC COMPANY GUAR 09/29 2.95		2.950000	102,666	102,571
MH SUB I LLC AMENDMENT NO. 2 INITIAL TERM		0.000000	286,412	286,227
HOME DEPOT INC SR UNSECURED 04/40 3.3		3.300000	239,892	239,630
VOC ESCROW LTD SR SECURED 144A 02/28 5		5.000000	496,250	495,725
CORNERSTONE BUILDNG BRANDS INC 2021 TERM LOAN B		0.000000	195,974	195,424
CSC HOLDINGS, LLC 2019 TERM LOAN B5		0.000000	96,537	95,930
ALEXANDRIA REAL ESTATE E COMPANY GUAR 12/30 4.9		4.900000	843,248	842,623
SOUTHWEST AIRLINES CO SR UNSECURED 06/27 5.125		5.125000	916,432	915,795
CAESARS RESORT COLLECTION LLC TERM B LOANS		0.000000	480,047	479,371
NOMURA HOLDINGS INC SR UNSECURED 07/30 2.679		2.679000	300,000	299,284
CROWN CASTLE INTL CORP SR UNSECURED 01/51 3.25		3.250000	99,786	98,926
BROADCOM INC COMPANY GUAR 144A 02/33 2.6		2.600000	99,824	97,750
GA GLOBAL FUNDING TRUST SECURED 144A 01/26 1.625		1.625000	399,540	397,288
KILROY REALTY LP COMPANY GUAR 11/33 2.65		2.650000	99,957	97,464
HILTON DOMESTIC OPERATIN COMPANY GUAR 144A 02/32 3.625		3.625000	700,000	697,484
AMC NETWORKS INC COMPANY GUAR 02/29 4.25		4.250000	600,000	597,336
BOEING CO SR UNSECURED 03/47 3.65		3.650000	104,044	101,210
US AIRWAYS 2012 1A PTT PASS THRU CE 04/26 5.9		5.900000	146,377	143,390
REGENERON PHARMACEUTICAL SR UNSECURED 09/30 1.75		1.750000	192,672	189,570
CARNIVAL CORPORATION 2021 INCREMENTAL TERM LOAN B		0.000000	1,890,500	1,887,337
REALTY INCOME CORP SR UNSECURED 08/27 3.95		3.950000	225,364	222,039
DELL INT LLC / EMC CORP COMPANY GUAR 144A 12/41 3.375		3.375000	1,295,684	1,292,308
CREDIT SUISSE GROUP AG JR SUBORDINA 144A VAR		6.375000	435,500	432,120
HEALTH EQUITY INC COMPANY GUAR 144A 10/29 4.5		4.500000	400,000	396,500
GOLDMAN SACHS GROUP INC JR SUBORDINA 12/99 VAR		3.650000	500,000	496,250
CAMPBELL SOUP CO SR UNSECURED 04/50 3.125		3.125000	598,374	594,560
ENTERPRISE PRODUCTS OPER COMPANY GUAR 08/77 VAR		4.875000	191,750	187,512
ADANI ELECTRICITY MUMBAI SR SECURED 144A 02/30 3.949		3.949000	400,000	395,676
VMWARE INC SR UNSECURED 08/31 2.2		2.200000	299,409	294,873
VERIZON COMMUNICATIONS SR UNSECURED 09/41 2.85		2.850000	748,794	743,560
CENTENE CORP SR UNSECURED 07/28 2.45		2.450000	400,000	394,616
CREDIT SUISSE GROUP AG JR SUBORDINA 144A 12/49 VAR		7.500000	438,500	433,095
GENERAL ELECTRIC CO SR UNSECURED 03/32 6.75		6.750000	962,353	956,855
CIA DE MINAS BUENAVENTUR COMPANY GUAR 144A 07/26 5.5		5.500000	396,560	390,812
MELCO RESORTS FINANCE SR UNSECURED 144A 07/27 5.625		5.625000	500,000	494,090
BOEING CO SR UNSECURED 08/59 3.95		3.950000	178,798	172,615
ROYALTY PHARMA PLC COMPANY GUAR 09/30 2.2		2.200000	879,840	873,135

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RAYTHEON TECH CORP SR UNSECURED 04/47 4.35		4.350000	128,947	122,217
LEVEL 3 FINANCING INC 2019 TERM LOAN B		0.000000	607,190	600,359
MGM CHINA HOLDINGS LTD SR UNSECURED 144A 06/25 5.25		5.250000	503,750	496,780
PERUSAHAAN LISTRIK NEGAR SR UNSECURED 144A 06/50 4		4.000000	687,981	680,565
NATIONAL HEALTH INVESTOR COMPANY GUAR 02/31 3		3.000000	297,588	290,077
STANDARD CHARTERED PLC JR SUBORDINA 144A 12/99 VAR		4.750000	500,400	492,813
FIRSTENERGY CORP SR UNSECURED 03/50 3.4		3.400000	499,245	491,250
MDC HOLDINGS INC COMPANY GUAR 08/61 3.966		3.966000	200,000	191,535
SABRA HEALTH CARE LP COMPANY GUAR 12/31 3.2		3.200000	792,050	783,571
JERSEY CENTRAL PWR + LT SR UNSECURED 144A 01/26 4.3		4.300000	334,982	325,776
EXTRA SPACE STORAGE LP COMPANY GUAR 03/32 2.35		2.350000	399,188	389,780
OMEGA HLTHCARE INVESTORS COMPANY GUAR 04/33 3.25		3.250000	302,724	293,143
GLP CAPITAL LP / FIN II COMPANY GUAR 06/28 5.75		5.750000	934,512	924,816
EQUINIX INC SR UNSECURED 11/29 3.2		3.200000	1,484,252	1,474,220
ODBRCHT OFFSHRE DRLL FIN SR SECURED 144A 12/22 6.72		6.720000	22,491	12,379
COMCAST CORP COMPANY GUAR 144A 11/56 2.937		2.937000	296,975	286,843
SOUTHERN CAL EDISON 1ST MORTGAGE 02/51 2.95		2.950000	297,921	287,590
STUDIO CITY FINANCE LTD COMPANY GUAR 144A 07/25 6		6.000000	400,000	389,416
VMED O2 UK FINAN SR SECURED 144A 01/31 4.25		4.250000	600,000	588,972
SOUTHERN CAL EDISON 1ST MORTGAGE 03/49 4.875		4.875000	748,184	736,698
SAUDI ARABIAN OIL CO SR UNSECURED 144A 11/50 3.25		3.250000	891,468	879,319
ERSTE GROUP BANK AG JR SUBORDINA REGS 12/99 VAR		4.250000	250,888	238,528
SERVICE PROPERTIES TRUST SR UNSECURED 10/26 4.75		4.750000	499,220	486,793
PACIFIC GAS + ELECTRIC 1ST MORTGAGE 07/25 3.45		3.450000	428,200	415,066
NIPPON LIFE INSURANCE SUBORDINATED 144A 01/51 VAR		2.750000	800,000	785,232
BARCLAYS BANK PLC SUBORDINATED 11/22 7.625		7.625000	364,134	348,235
FIRST AMERICAN FINANCIAL SR UNSECURED 08/31 2.4		2.400000	822,165	806,005
TD SYNEX CORP SR UNSECURED 144A 08/28 2.375		2.375000	600,000	583,389
OHIO POWER COMPANY SR UNSECURED 10/51 2.9		2.900000	696,647	679,514
CELGENE CORP SR UNSECURED 11/47 4.35		4.350000	126,662	109,332
ALIBABA GROUP HOLDING SR UNSECURED 02/51 3.15		3.150000	299,943	282,557
PACIFIC GAS + ELECTRIC 1ST MORTGAGE 02/31 2.5		2.500000	399,584	381,697
ESC LEHMAN BRTH HLDH PROD 05/18 VAR		1.000000	32,904	14,792
STORE CAPITAL CORP SR UNSECURED 12/31 2.7		2.700000	998,770	980,143
PACIFIC GAS + ELECTRIC 1ST MORTGAGE 06/25 3.5		3.500000	850,096	830,999
CREDIT SUISSE GROUP AG JR SUBORDINA 144A 12/49 VAR		6.250000	553,350	534,000
TAKEDA PHARMACEUTICAL SR UNSECURED 03/30 2.05		2.050000	1,197,648	1,177,750
CELLNEX FINANCE COMPANY GUAR 144A 07/41 3.875		3.875000	691,068	670,485
FIRSTENERGY CORP SR UNSECURED 07/47 5.35		5.350000	737,449	715,918
MGM CHINA HOLDINGS LTD SR UNSECURED 144A 05/26 5.875		5.875000	423,000	401,410
MIZUHO FINANCIAL GROUP SR UNSECURED 07/31 VAR		2.201000	1,100,000	1,077,869
LAS VEGAS SANDS CORP SR UNSECURED 08/29 3.9		3.900000	426,540	403,542
WYNN MACAU LTD SR UNSECURED 144A 01/26 5.5		5.500000	400,000	376,446
PROSUS NV SR UNSECURED 144A 02/51 3.832		3.832000	399,968	375,347
SBA TOWER TRUST ASSET BACKED 144A 07/52 2.328		2.328000	2,580,000	2,555,105
AMGEN INC SR UNSECURED 09/53 2.77		2.770000	680,113	653,875
AMGEN INC SR UNSECURED 11/41 5.15		5.150000	667,557	640,226
FREEDOM MORTGAGE CORP SR UNSECURED 144A 01/27 6.625		6.625000	1,300,000	1,272,102
CHARTER COMM OPT LLC/CAP SR SECURED 06/62 3.95		3.950000	1,289,418	1,260,701
COX COMMUNICATIONS INC COMPANY GUAR 144A 10/30 1.8		1.800000	598,134	566,556
ING GROEP NV JR SUBORDINA 12/99 VAR		4.250000	600,000	567,000
AMERICAN TOWER CORP SR UNSECURED 09/31 2.3		2.300000	1,591,104	1,557,585
7 ELEVEN INC SR UNSECURED 144A 02/41 2.5		2.500000	593,466	556,324

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BANCA MONTE DEI PASCHI S SR UNSECURED REGS 09/24 3.625		3.625000	735,743	696,450
MELCO RESORTS FINANCE SR UNSECURED 144A 12/29 5.375		5.375000	1,400,000	1,360,170
PACIFIC GAS + ELECTRIC 1ST MORTGAGE 07/30 4.55		4.550000	799,582	758,262
WYNN MACAU LTD SR UNSECURED 144A 10/24 4.875		4.875000	608,250	564,651
UNICREDIT SPA JR SUBORDINA REGS 12/49 VAR		9.250000	516,132	472,506
REALTY INCOME CORP SR UNSECURED 06/26 4.875		4.875000	2,413,131	2,365,903
HSBC HOLDINGS PLC JR SUBORDINA REGS 12/99 VAR		4.750000	2,670,388	2,622,826
SANDS CHINA LTD SR UNSECURED 144A 03/27 2.55		2.300000	899,170	848,192
CROWN CASTLE INTL CORP SR UNSECURED 01/31 2.25		2.250000	2,395,920	2,344,036
PACIFIC GAS + ELECTRIC 1ST MORTGAGE 03/45 4.3		4.300000	1,274,724	1,219,692
CHARTER COMM OPT LLC/CAP SR SECURED 04/51 3.7		3.700000	2,390,094	2,334,963
CHARTER COMM OPT LLC/CAP SR SECURED 12/61 4.4		4.400000	1,721,296	1,665,755
WYNN MACAU LTD SR UNSECURED 144A 08/28 5.625		5.625000	800,000	742,000
STUDIO CITY FINANCE LTD COMPANY GUAR 144A 01/29 5		5.000000	600,000	537,939
CREDIT SUISSE GROUP AG JR SUBORDINA 144A 12/99 VAR		7.500000	1,449,125	1,377,010
CREDIT SUISSE GROUP AG JR SUBORDINA REGS 12/49 VAR		7.500000	2,023,200	1,948,928
ODBRCHT OFFSHRE DRLL FIN SR SECURED 144A 12/26 7.72		7.720000	134,916	49,211
WYNN MACAU LTD SR UNSECURED 144A 12/29 5.125		5.125000	1,100,000	1,001,000
DIAMOND SPORTS GR/DIAMON SR SECURED 144A 08/26 5.375		5.375000	200,000	100,230
PACIFIC GAS + ELECTRIC 1ST MORTGAGE 01/26 3.15		3.150000	5,036,880	4,913,376
PETROBRAS GLOBAL FINANCE COMPANY GUAR 06/50 6.75		6.750000	1,080,000	942,890
YANGO JUSTICE INTL COMPANY GUAR REGS 04/24 7.5		7.500000	205,250	48,000
SANDS CHINA LTD SR UNSECURED 08/28 5.4		5.400000	4,274,688	4,099,763
KAISA GROUP HOLDINGS LTD SR SECURED REGS 06/22 8.5		8.500000	293,250	80,250
DIAMOND SPORTS GROUP LLC TERM LOAN		0.000000	486,306	229,576
KAISA GROUP HOLDINGS LTD SR SECURED REGS 06/24 9.375		9.375000	488,750	133,750
KAISA GROUP HOLDINGS LTD SR SECURED REGS 09/23 9.75		9.750000	1,200,000	315,300
Total Fixed Income - Corporate Debt Instrument				418,232,124
STATE OF ISRAEL SR UNSECURED 12/99 4.5		4.500000	1,200,000	1,535,258
STATE OF QATAR SR UNSECURED 144A 04/30 3.75		3.750000	1,397,340	1,572,869
STATE OF QATAR SR UNSECURED REGS 04/48 5.103		5.103000	400,000	542,270
SAUDI INTERNATIONAL BOND SR UNSECURED REGS 10/46 4.5		4.500000	686,105	822,381
ABU DHABI GOVT INT L SR UNSECURED 144A 04/50 3.875		3.875000	576,816	700,436
STATE OF QATAR SR UNSECURED REGS 03/49 4.817		4.817000	300,000	394,191
REPUBLIC OF SOUTH AFRICA SR UNSECURED 09/29 4.85		4.850000	900,000	931,770
REPUBLIC OF CHILE SR UNSECURED 01/50 3.5		3.500000	120,118	119,888
REPUBLIC OF PERU SR UNSECURED 06/30 2.844		2.844000	128,232	126,736
REPUBLIC OF ARGENTINA BONDS 04/22 VAR		49.849394	3,223	1,550
REPUBLIC OF PANAMA SR UNSECURED 07/60 3.87		3.870000	142,830	135,506
REPUBLIC OF SOUTH AFRICA SR UNSECURED 03/32 8.25		8.250000	828,465	797,756
REPUBLIC OF PERU SR UNSECURED 144A 08/34 5.4		5.400000	123,503	91,521
UNITED MEXICAN STATES SR UNSECURED 05/61 3.771		3.771000	450,000	415,460
AUSTRALIAN GOVERNMENT BONDS REGS 11/31 1		1.000000	1,070,361	1,026,119
REPUBLIC OF PERU BONDS 144A 08/40 5.35		5.350000	206,526	149,674
REPUBLIC OF PHILIPPINES SR UNSECURED 02/42 3.7		3.700000	1,053,000	984,038
REPUBLIC OF PERU SR UNSECURED 144A 02/29 5.94		5.940000	1,065,089	924,313
RUSSIA GOVT BOND OFZ BONDS 04/30 7.65		7.650000	923,389	693,887
RUSSIA GOVT BOND OFZ BONDS 09/31 8.5		8.500000	1,662,281	1,340,734
REPUBLIC OF PERU SR UNSECURED REGS 08/28 6.35		6.350000	3,593,094	2,755,954
Total Fixed Income - Foreign Government Securities				16,062,311
US 2YR NOTE (CBT) MAR22 XCBT 20220331		0.000000	(69,075,672)	133,360

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Schedule H, Line 4i - Schedule of Assets (Held at End of Year) - As of December 31, 2021

(a)	(b)/(c)	(c)	(d)	(e)
Identity of Issuer, Borrower, Lessor or Similar Party				
Description of Investment including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value				
		Interest Rate	Cost - Base	Market Value - Base
EURO BUND FUTURE MAR22 XEUR 20220308		0.000000	(196,902)	2,968
US 5YR NOTE (CBT) MAR22 XCBT 20220331		0.000000	81,092,939	(38,642)
US 10YR NOTE (CBT) MAR22 XCBT 20220322		0.000000	20,247,094	106,031
US LONG BOND(CBT) MAR22 XCBT 20220322		0.000000	9,366,711	99,102
US ULTRA BOND CBT MAR22 XCBT 20220322		0.000000	5,053,344	71,906
Total Fixed Income - Futures				374,725
Other Investments - Spot				
HUNGARIAN FORINT				349
EURO CURRENCY				(1)
BRAZILIAN REAL				(4,977)
Total Fixed Income - Spot				(4,629)
317U141X0 IRO EUR 30Y MAR23 0 PUT		0.000000	159,366	283,423
317U744Z6 PIMCO SWAPTION 0.87 CALL USD 2022110		0.000000	(187,170)	(98,786)
317U178X6 IRO EUR 30Y MAR23 0 PUT		0.000000	101,527	186,249
317U706Y5 PIMCO SWAPTION 0.020 PUT USD 2023062		0.000000	(826,000)	(794,463)
317UCG061 PIMCO SWAPTION 1.4775 CALL USD 20220		0.000000	(26,563)	(4)
317UCG079 PIMCO SWAPTION 1.7975 PUT USD 202201		0.000000	(26,563)	(2,027)
317U789Y5 PIMCO SWAPTION 0.0211 PUT USD 202306		0.000000	(372,400)	(350,104)
317U981Z8 PIMCO SWAPTION 1.45 CALL USD 2022013		0.000000	(18,070)	(4,538)
3175890J9 PIMCO CDSOPT PUT EUR 3.5 20220119		0.000000	(10,809)	(565)
317U982Z7 PIMCO SWAPTION 1.91 PUT USD 20220131		0.000000	(18,070)	(8,040)
317U068I2 PIMCO SWAPTION 1.5375 CALL USD 20220		0.000000	(10,938)	(1,576)
317U067I3 PIMCO SWAPTION 1.8375 PUT USD 202201		0.000000	(10,938)	(2,758)
317U018I3 PIMCO SWAPTION 1.525 CALL USD 202201		0.000000	(8,460)	(492)
317U341Z3 PIMCO SWAPTION 0.0206 PUT USD 202310		0.000000	416,484	424,210
317U017I4 PIMCO SWAPTION 1.825 PUT USD 2022010		0.000000	(8,460)	(1,983)
317U867Z7 PIMCO SWAPTION 1.93625 PUT USD 20220		0.000000	(6,890)	(414)
317589J67 PIMCO CDSOPT PUT EUR 4.25 20220216		0.000000	(7,358)	(1,004)
317U173I4 PIMCO SWAPTION 1.52 CALL USD 2022011		0.000000	(9,300)	(3,102)
317U215I4 PIMCO SWAPTION 1.495 CALL USD 202201		0.000000	(7,785)	(1,773)
317U035I2 PIMCO SWAPTION 1.763 PUT USD 2022011		0.000000	(6,104)	(806)
317533RY5 PIMCO CDSOPT PUT USD 101.0 20220119		0.000000	(5,060)	(52)
317556RT7 PIMCO CDSOPT PUT EUR 4.0 20220216		0.000000	(5,043)	(658)
317U232I3 PIMCO SWAPTION 1.515 CALL USD 202201		0.000000	(6,800)	(2,469)
317U036I1 PIMCO SWAPTION 1.463 CALL USD 202201		0.000000	(6,104)	(1,872)
3175654F3 PIMCO CDSOPT PUT EUR 3.5 20220119		0.000000	(4,441)	(226)
3175839H7 PIMCO CDSOPT PUT EUR 3.75 20220119		0.000000	(3,832)	(182)
317557H90 PIMCO CDSOPT PUT EUR 3.5 20220119		0.000000	(3,279)	(169)
317525GI8 PIMCO CDSOPT PUT EUR 0.9 20220316		0.000000	(4,266)	(1,173)
317564ML3 PIMCO CDSOPT PUT USD 0.85 20220119		0.000000	(2,766)	(28)
317554NE9 PIMCO CDSOPT PUT USD 0.8 20220216		0.000000	(3,119)	(524)
317U330I4 PIMCO SWAPTION 1.96 PUT USD 20220131		0.000000	(4,663)	(2,098)
317U123I5 PIMCO SWAPTION 1.5325 CALL USD 20220		0.000000	(3,400)	(1,037)
317555DI8 PIMCO CDSOPT PUT USD 0.8 20220119		0.000000	(2,168)	(27)
317572LA1 PIMCO CDSOPT PUT EUR 0.8 20220119		0.000000	(2,078)	(74)
317566I2 P2 OTC EPUT FN 2.0 97.84375		0.000000	(2,000)	(35)
317566CK1 PIMCO CDSOPT PUT USD 0.9 20220420		0.000000	(3,380)	(1,445)
317595I40 PIMCO CDSOPT PUT EUR 0.9 20220316		0.000000	(2,481)	(552)
317595NW2 PIMCO CDSOPT PUT EUR 0.8 20220119		0.000000	(1,980)	(69)
3175611Q1 PIMCO CDSOPT PUT EUR 4.25 20220316		0.000000	(3,268)	(1,481)
317U213I6 PIMCO SWAPTION 1.218 CALL USD 202201		0.000000	(2,048)	(295)
3175ES290 PIMCO CDSOPT PUT USD 102.0 20220119		0.000000	(1,720)	(24)

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Identity of Issuer, Borrower, Lessor or Similar Party	Description of Investment including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Interest Rate	Cost - Base	Market Value - Base
317553GC3	OTC EPUT FN 2.0 97.859375	0.000000	(1,688)	(27)
317553EO9	OTC EPUT FN 2.0 97.898437	0.000000	(1,688)	(29)
317U121I7	PIMCO SWAPTION 1.305 CALL USD 202201	0.000000	(2,475)	(821)
3175629V0	PIMCO CDSOPT PUT USD 0.95 20220316	0.000000	(2,109)	(515)
3175646R8	PIMCO CDSOPT PUT USD 0.95 20220420	0.000000	(2,550)	(958)
317593Y88	PIMCO CDSOPT PUT USD 0.95 20220420	0.000000	(2,423)	(910)
317551042	PIMCO CDSOPT PUT EUR 0.75 20220119	0.000000	(1,519)	(71)
317533A56	OTC EPUT FN 2.0 98.578125	0.000000	(1,500)	(86)
317585VE4	OTC EPUT FN 2.0 98.171875	0.000000	(1,430)	(44)
317562379	PIMCO CDSOPT PUT USD 1.0 20220316	0.000000	(1,625)	(279)
317561YS1	OTC EPUT FN 2.0 98.375	0.000000	(1,406)	(62)
317U172I5	PIMCO SWAPTION 1.82 PUT USD 20220118	0.000000	(9,300)	(7,959)
317515OI0	PIMCO CDSOPT PUT EUR 0.9 20220316	0.000000	(1,702)	(380)
317555U81	PIMCO CDSOPT PUT USD 0.95 20220316	0.000000	(1,625)	(352)
317U122I6	PIMCO SWAPTION 1.8325 PUT USD 202201	0.000000	(3,400)	(2,135)
317U231I4	PIMCO SWAPTION 1.355 CALL USD 202201	0.000000	(1,663)	(442)
3175955A0	PIMCO CDSOPT PUT EUR 0.8 20220316	0.000000	(2,418)	(1,199)
31750J3P8	PIMCO CDSOPT PUT USD 0.9 20220420	0.000000	(1,812)	(667)
317U120I8	PIMCO SWAPTION 1.605 PUT USD 2022011	0.000000	(2,475)	(1,357)
317U868Z6	PIMCO SWAPTION 1.53625 CALL USD 2022	0.000000	(6,890)	(5,795)
317594WE5	OTC ECAL FN 2.0 100.078125	0.000000	(1,336)	(332)
31750IWS2	OTC ECAL FN 2.0 100.054687	0.000000	(1,359)	(356)
317561KN7	PIMCO CDSOPT PUT USD 1.0 20220316	0.000000	(1,140)	(214)
317581528	PIMCO CDSOPT PUT EUR 0.85 20220420	0.000000	(2,435)	(1,529)
317513FO2	ECAL FN 2.0 FEB22 100.921875 CALL	0.000000	(1,547)	(694)
317552495	PIMCO CDSOPT PUT USD 0.9 20220316	0.000000	(1,110)	(311)
317512W80	OTC ECAL FN 2.0 100.578125	0.000000	(844)	(48)
317593W07	ECAL FN2.0 FEB22 100.33203125 CALL	0.000000	(2,777)	(1,988)
31750IWK9	OTC ECAL FN 2.0 JAN22 100.734375 CALL	0.000000	(797)	(22)
317556L55	OTC EPUT FN 2.0 98.789062	0.000000	(813)	(82)
317522688	OTC ECAL FN 2.0 100.375	0.000000	(844)	(117)
317555U73	OTC ECAL FN 2.0 100.171875	0.000000	(938)	(246)
31750IY76	OTC ECAL FN 2.0 99.84375	0.000000	(1,500)	(839)
317565I12	OTC EPUT FN 2.5 101	0.000000	(625)	(4)
317582ZR8	OTC EPUT FN 2.5 100.9375	0.000000	(609)	(3)
317591071	OTC ECAL FN 2.0 99.898437	0.000000	(1,125)	(549)
3175859P4	OTC ECAL FN 2.0 100.3125	0.000000	(1,207)	(677)
317512TI2	OTC ECAL FN 2.0 99.859375	0.000000	(1,125)	(605)
317573KU6	OTC EPUT FN 2.5 100.78125	0.000000	(500)	(1)
317572XJ9	OTC ECAL FN 2.0 100.789062	0.000000	(500)	(11)
317563YF5	OTC ECAL FN 2.0 100.296875	0.000000	(594)	(106)
317511K36	OTC ECAL FN 2.0 100.34375	0.000000	(1,125)	(654)
3175457D7	OTC ECAL FN 2.0 100.15625	0.000000	(1,219)	(799)
317562FZ4	OTC ECAL FN 2.5 103.328125	0.000000	(398)	-
317542Y10	OTC ECAL FN 2.0 100.8125	0.000000	(383)	(9)
317517IA0	OTC EPUT FN 2.0 98.96875	0.000000	(875)	(508)
317552JB4	ECAL FN 2.0 FEB22 100.125 CALL	0.000000	(2,016)	(1,652)
317524NB8	OTC ECAL FN 2.5 103	0.000000	(359)	(5)
317532M06	OTC EPUT G2 2.5 101.5	0.000000	(438)	(87)
317U229I8	PIMCO SWAPTION 1.815 PUT USD 2022012	0.000000	(6,800)	(6,462)
317541DL1	OTC ECAL FN 2.0 100.40625	0.000000	(949)	(612)
31750J303	OTC ECAL FN 2.0 FEB22 100.4375 CALL	0.000000	(1,125)	(789)
317544FB5	OTC ECAL FEB22 100.96875 CALL	0.000000	(531)	(219)

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Identity of Issuer, Borrower, Lessor or Similar Party	Description of Investment including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Interest Rate	Cost - Base	Market Value - Base
317514123 OTC ECAL FN 2.0 100.765625		0.000000	(320)	(12)
317577GV0 OTC ECAL FN 2.5 102.9375		0.000000	(313)	(7)
317596401 OTC ECAL FN 2.0 100.296875		0.000000	(984)	(688)
317U21415 PIMCO SWAPTION 1.795 PUT USD 2022011		0.000000	(7,785)	(7,549)
317516UH3 PIMCO CDSOPT PUT EUR 0.8 20220216		0.000000	(240)	(42)
317596RP1 OTC ECAL FN 2.0 100.386718		0.000000	(820)	(645)
317517PK0 OTC ECAL FN 2.0 100.109375		0.000000	(734)	(560)
317517MA5 OTC ECAL FN 2.0 100.355468		0.000000	(820)	(669)
317521OD9 OTC ECAL FN 2.0 100.328125		0.000000	(797)	(666)
317576XY7 OTC EPUT FN 2.5 102.328125		0.000000	(688)	(566)
317599XC7 OTC ECAL FN 2.0 100.375		0.000000	(609)	(654)
317U23015 PIMCO SWAPTION 1.655 PUT USD 2022012		0.000000	(1,663)	(1,981)
317562SS6 OTC EPUT FN 3.0 JAN22 104.0625 PUT		0.000000	(516)	(1,231)
317U21217 PIMCO SWAPTION 1.518 PUT USD 2022011		0.000000	(2,048)	(2,833)
317U33113 PIMCO SWAPTION 1.66 CALL USD 2022013		0.000000	(4,663)	(7,657)
317U743Z7 PIMCO SWAPTION 1.27 PUT USD 20221102		0.000000	(187,170)	(230,194)
317U342Z2 PIMCO SWAPTION 0.020 PUT USD 2023102		0.000000	(417,714)	(501,656)
317U790Y2 PIMCO SWAPTION 0.0228 PUT USD 202306		0.000000	372,400	257,515
317U179X5 IRO EUR 10Y P0.1750 MAR23 NEG0.1750 PUT		0.000000	(100,100)	(219,652)
317U723Y4 PIMCO SWAPTION 0.02233 PUT USD 20230		0.000000	409,220	274,303
317U707Y4 PIMCO SWAPTION 0.022125 PUT USD 2023		0.000000	420,000	283,322
317U142X9 IRO EUR 10Y P0.175 MAR23 0.175 PUT		0.000000	(155,762)	(333,046)
Total Fixed Income - Options				(932,829)
SWU01AP15 IRS BRL P V 00MBRCDI SWUV1AP17 CCPNDFPREDISWAP		1.000000	(25,315,052)	(23,105,925)
SWU00OT61 IRS HUF P V 06MBUBOR SWUV0OT63 CCPVANILLA		1.680000	(2,572,536)	(2,015,127)
SWU01ANZ2 IRS MXN P V 01MTIIE SWUV1ANZ4 CCPVANILLA		5.710000	(10,901,361)	(10,525,287)
SWU016XD9 IRS ZAR P V 03MJIBAR SWUV16XD1 CCPVANILLA		3.867000	(6,018,524)	(5,689,223)
SWU01BAV3 IRS BRL P V 00MBRCDI SWUV1BAV5 CCPNDFPREDISWAP		1.000000	(3,583,608)	(3,339,318)
SWPCOKBS0 CDS EUR R F 1.00000 1 CCPITRAXX		1.000000	21,840,518	22,051,717
SWU017BD1 IRS ZAR P V 03MJIBAR SWUV17BD3 CCPVANILLA		3.883000	(2,391,675)	(2,186,717)
SWU01B1T8 IRS GBP P V 12MSONIA SWUV1B1T0 CCPOIS		1.000000	(9,279,162)	(9,074,816)
SWPC0GPG0 CDS EUR P V 03MEVENT 2 CCPITRAXX		1.000000	(2,101,201)	(1,933,240)
SWPC0JC45 CDS EUR R F 1.00000 1 CCPCORPORATE		1.000000	804,892	954,487
SWU010CK9 IRS CAD R F 1.22000 SWU010CK9 CCPVANILLA		1.220000	3,149,056	3,270,159
BWU01B1Q4 IRS EUR P F .25000 SWU01B1Q4 CCPVANILLA		0.250000	(2,599,670)	(2,481,628)
SWU01ANE9 IRS ZAR P V 03MJIBAR SWUV1ANE1 CCPVANILLA		3.867000	(773,409)	(657,895)
BWU01B1V3 IRS GBP P F .75000 SWU01B1V3 CCPOIS		0.750000	(2,492,909)	(2,383,239)
SWU01ANK5 IRS ZAR P V 03MJIBAR SWUV1ANK7 CCPVANILLA		3.867000	(662,922)	(563,910)
SWU010DI3 IRS CAD R F 1.23500 SWU010DI3 CCPVANILLA		1.235000	1,568,020	1,635,818
BWU01B1R2 IRS EUR P F .50000 SWU01B1R2 CCPVANILLA		0.500000	(2,008,680)	(1,943,552)
SWPC0H4V8 CDS USD R F 1.00000 FIX CORPORATE		1.000000	537,029	598,643
SWPC0FGA5 CDS USD R F 1.00000 FIX CORPORATE		1.000000	939,561	1,000,608
SWU01A053 IRS CAD P V 03MCDOR SWUV1A055 CCPVANILLA		0.457500	(4,558,724)	(4,512,528)
SWPC0K383 CDS EUR P V 03MEVENT 2 CCPCORPORATE		1.000000	(952,400)	(909,760)
SWU00UFD7 IRS CAD R F 1.90000 SWU00UFD7 CCPVANILLA		1.900000	987,890	1,030,383
SWPC0K3K6 CDS EUR P V 03MEVENT 2 CCPCORPORATE		1.000000	(950,560)	(909,760)
SWPC0HFC8 CDS USD R F 1.00000 FIX SOVEREIGN		1.000000	1,175,324	1,215,939
SWPC0HY94 CDS USD R F 1.00000 1 CCPCDX		1.000000	1,082,500	1,122,500
SWPC0JU94 CDS EUR P V 03MEVENT 2 CCPCORPORATE		1.000000	(485,960)	(454,880)
SWPC0KKK7 CDS EUR R F 1.00000 1 CCPCORPORATE		1.000000	2,948,889	2,978,602

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SWPCOH414 CDS USD R F	1.00000 FIX CORPORATE	1.000000	270,272	299,322
SWPCOFAA1 CDS EUR R F	1.00000 1 CCPCORPORATE	1.000000	430,654	456,849
SWU01D1T4 IRS USD R F	1.81750 SWU01D1T4 CCPVANILLA	1.817500	1,000,000	1,024,683
SWPCOK3J9 CDS EUR P V	03MEVENT 2 CCPCORPORATE	1.000000	(592,950)	(568,600)
SWPC0JJ55 CDS EUR P V	03MEVENT 2 CCPCORPORATE	1.000000	(364,800)	(341,160)
SWPC0H2A6 CDS USD R F	1.00000 FIX CORPORATE	1.000000	179,882	199,548
SWPC0IU70 CDS USD R F	1.00000 FIX CORPORATE	1.000000	383,936	396,259
SWPC0C0C5 CDS USD R F	.50000 1 CMBX	0.500000	192,347	201,460
SWPC0K5B4 CDS USD R F	1.00000 1 CCPCORPORATE	1.000000	3,813,983	3,822,792
SWPC0ISE8 CDS USD R F	1.00000 FIX CORPORATE	1.000000	288,673	297,195
SWPC0J5H4 CDS USD R F	1.00000 1 CCPCORPORATE	1.000000	194,936	203,352
SWU09GJ52 IRS GBP R F	3.58500 INFLATIONZERO CCP LCH	3.585000	128,871	135,426
SWPC0HF79 CDS USD R F	1.00000 FIX SOVEREIGN	1.000000	196,462	202,656
SWPC0JY5 CDS USD R F	1.00000 FIX CCPCORPORATE	1.000000	909,085	915,182
SWPC0I1T4 CDS EUR R F	1.00000 1 CCPCORPORATE	1.000000	225,372	231,265
SWPC0KBZ4 CDS USD R F	1.00000 1 CCPCDX	1.000000	7,370,420	7,375,841
BWU01CKK4 IRS USD P F	1.00000 SWU01CKK4 CCPOIS	1.000000	(1,000,000)	(995,171)
SWPC0JPR0 CDS EUR P V	03MEVENT 2 CCPCORPORATE	1.000000	(118,540)	(113,720)
SWPC0G9W3 CDS USD R F	1.00000 FIX SOVEREIGN	1.000000	198,335	203,057
SWPC0C1D2 CDS USD R F	.50000 1 CMBX	0.500000	96,069	100,730
SWPC0JXJ9 CDS EUR P V	03MEVENT 2 CCPCORPORATE	1.000000	(117,635)	(113,720)
SWPC0FLY7 CDS USD R F	.50000 1 CMBX	0.500000	97,038	100,822
SWPC0HTX7 CDS USD R F	.50000 1 CMBX	0.500000	499,370	503,056
SWPC0FR39 CDS USD R F	.50000 1 CMBX	0.500000	97,141	100,822
SWPC0HWY1 CDS USD R F	1.00000 FIX SOVEREIGN	1.000000	98,251	101,429
SWPC0KBE1 CDS USD R F	1.00000 1 CCPCORPORATE	1.000000	1,114,671	1,117,248
SWPC0KK76 CDS USD R F	1.00000 1 CCPCORPORATE	1.000000	706,732	709,288
SWPC0K9N4 CDS USD R F	1.00000 FIX SOVEREIGN	1.000000	1,001,942	1,004,184
SWPC0IHU4 CDS USD R F	1.00000 FIX SOVEREIGN	1.000000	99,371	101,528
SWPC0JYF6 CDS USD R F	1.00000 FIX SOVEREIGN	1.000000	99,219	100,820
SWPC0K4W9 CDS USD R F	1.00000 1 CCPCORPORATE	1.000000	99,285	100,112
SWPC0HKK4 CDS USD R F	1.00000 FIX SOVEREIGN	1.000000	49,400	49,883
SWPC0C0C5 CDS USD P V	01MEVENT 2 CMBX	1.000000	(199,861)	(199,861)
SWPC0C1D2 CDS USD P V	01MEVENT 2 CMBX	1.000000	(99,930)	(99,930)
SWPC0FGA5 CDS USD P V	03MEVENT FLO CORPORATE	1.000000	(1,000,000)	(1,000,000)
SWPC0FLY7 CDS USD P V	01MEVENT 2 CMBX	1.000000	(100,000)	(100,000)
SWPC0FR39 CDS USD P V	01MEVENT 2 CMBX	1.000000	(100,000)	(100,000)
SWPC0G9W3 CDS USD P V	03MEVENT FLO SOVEREIGN	1.000000	(200,000)	(200,000)
SWPC0GBH3 CDS USD P V	03MEVENT 2 CCPCORPORATE	1.000000	(200,000)	(200,000)
SWPCDX027 CDS USD P V	03MEVENT FLO CDXTRANCHE	1.000000	(100,000)	(100,000)
SWPC0GCR0 CDS USD P V	03MEVENT 2 CCPCORPORATE	1.000000	(2,000,000)	(2,000,000)
SWPC0H2A6 CDS USD P V	03MEVENT FLO CORPORATE	1.000000	(200,000)	(200,000)
SWPC0H414 CDS USD P V	03MEVENT FLO CORPORATE	1.000000	(300,000)	(300,000)
SWPC0H4V8 CDS USD P V	03MEVENT FLO CORPORATE	1.000000	(600,000)	(600,000)
SWPC0HF79 CDS USD P V	03MEVENT FLO SOVEREIGN	1.000000	(200,000)	(200,000)
SWPC0HFC8 CDS USD P V	03MEVENT FLO SOVEREIGN	1.000000	(1,200,000)	(1,200,000)
SWPC1HH01 CDS USD P V	03MEVENT FLO CDXTRANCHE	1.000000	(400,000)	(400,000)
SWPC0HKK4 CDS USD P V	03MEVENT FLO SOVEREIGN	1.000000	(50,000)	(50,000)
SWPCDX043 CDS USD P V	03MEVENT FLO CDXTRANCHE	1.000000	(100,000)	(100,000)
SWPCNC782 CDS USD P V	03MEVENT FLO CDXTRANCHE	1.000000	(400,000)	(400,000)
SWPCNC790 CDS USD P V	03MEVENT FLO CDXTRANCHE	1.000000	(100,000)	(100,000)
SWPCDX050 CDS USD P V	03MEVENT FLO CDXTRANCHE	1.000000	(100,000)	(100,000)
SWPCNC808 CDS USD P V	03MEVENT FLO CDXTRANCHE	1.000000	(100,000)	(100,000)

Rio Tinto America Inc. Retirement Plan Trust

Schedule H, Line 4i - Schedule of Assets (Held at End of Year) - As of December 31, 2021

(a)	(b)/(c)	(c)	(d)	(e)
Identity of Issuer, Borrower, Lessor or Similar Party	Description of Investment including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value	Interest Rate	Cost - Base	Market Value - Base
SWPCOHTX7	CDS USD P V 01MEVENT 2 CMBX	1.000000	(500,000)	(500,000)
SWPCOHY1	CDS USD P V 03MEVENT FLO SOVEREIGN	1.000000	(100,000)	(100,000)
SWPCOHY94	CDS USD P V 03MEVENT 2 CCPCDX	1.000000	(1,128,000)	(1,128,000)
SWPCOIH59	CDS USD P V 03MEVENT FLO SOVEREIGN	1.000000	(200,000)	(200,000)
SWPCOIHU4	CDS USD P V 03MEVENT FLO SOVEREIGN	1.000000	(100,000)	(100,000)
SWPCOISE8	CDS USD P V 03MEVENT FLO CORPORATE	1.000000	(300,000)	(300,000)
SWPCOIU70	CDS USD P V 03MEVENT FLO CORPORATE	1.000000	(400,000)	(400,000)
SWPCOJ5H4	CDS USD P V 03MEVENT 2 CCPCORPORATE	1.000000	(200,000)	(200,000)
SWPCOJWP6	CDS USD P V 03MEVENT FLO SOVEREIGN	1.000000	(900,000)	(900,000)
SWPCOJYF6	CDS USD P V 03MEVENT FLO SOVEREIGN	1.000000	(100,000)	(100,000)
SWPCOJYY5	CDS USD P V 03MEVENT FLO CCPCORPORATE	1.000000	(900,000)	(900,000)
SWPCOK0C7	CDS USD P V 03MEVENT 2 CCPCORPORATE	1.000000	(200,000)	(200,000)
SWPCOK4W9	CDS USD P V 03MEVENT 2 CCPCORPORATE	1.000000	(100,000)	(100,000)
SWPCOK5B4	CDS USD P V 03MEVENT 2 CCPCORPORATE	1.000000	(3,800,000)	(3,800,000)
SWPCOK9N4	CDS USD P V 03MEVENT FLO SOVEREIGN	1.000000	(1,000,000)	(1,000,000)
SWPCOKBE1	CDS USD P V 03MEVENT 2 CCPCORPORATE	1.000000	(1,100,000)	(1,100,000)
SWPCOKBZ4	CDS USD P V 03MEVENT 2 CCPCDX	1.000000	(7,200,000)	(7,200,000)
SWPCOKFP2	CDS USD P V 03MEVENT 2 CCPCORPORATE	1.000000	(300,000)	(300,000)
SWU01D1T4	IRS USD P V 03MLIBOR SWUV1D1T6 CCPVANILLA	0.123630	(1,000,000)	(1,000,000)
SWPCOKK76	CDS USD P V 03MEVENT 2 CCPCORPORATE	1.000000	(700,000)	(700,000)
SWPCOKKC5	CDS USD P V 03MEVENT 2 CCPCORPORATE	1.000000	(2,000,000)	(2,000,000)
SWPCOKKA9	CDS USD P V 03MEVENT 2 CCPCORPORATE	1.000000	(2,800,000)	(2,800,000)
SWPCOKKB7	CDS USD P V 03MEVENT 2 CCPCORPORATE	1.000000	(2,100,000)	(2,100,000)
SWPCOK0C7	CDS USD R F 1.00000 1 CCPCORPORATE	1.000000	203,439	203,333
SWPCOJWP6	CDS USD R F 1.00000 FIX SOVEREIGN	1.000000	866,226	866,077
SWPCOKKB7	CDS USD R F 1.00000 1 CCPCORPORATE	1.000000	2,115,466	2,114,874
SWPCOKKC5	CDS USD R F 1.00000 1 CCPCORPORATE	1.000000	2,014,519	2,013,869
SWPCOJJ55	CDS EUR R F 1.00000 1 CCPCORPORATE	1.000000	335,676	334,780
SWPCOGBH3	CDS USD R F 1.00000 1 CCPCORPORATE	1.000000	203,095	201,631
SWPCNC808	CDS USD R F 5.00000 FIX CDXTRANCHE	5.000000	110,350	108,768
SWPCOKFP2	CDS USD R F 5.00000 1 CCPCORPORATE	5.000000	360,414	357,629
SWPCNC790	CDS USD R F 5.00000 FIX CDXTRANCHE	5.000000	111,650	108,768
SWPCDX043	CDS USD R F 5.00000 FIX CDXTRANCHE	5.000000	111,880	108,768
SWPCOIH59	CDS USD R F 1.00000 FIX SOVEREIGN	1.000000	200,784	197,403
SWPCOJXJ9	CDS EUR R F 1.00000 1 CCPCORPORATE	1.000000	119,409	115,676
SWPCOJPR0	CDS EUR R F 1.00000 1 CCPCORPORATE	1.000000	120,312	116,500
SWPCOI1T4	CDS EUR P V 03MEVENT 2 CCPCORPORATE	1.000000	(223,480)	(227,440)
BWU01CKK4	IRS USD R V 12MSOFR SWUV1CKK6 CCPOIS	0.050000	1,004,386	1,000,000
BWU01B1R2	IRS EUR R V 06MEURIB SWUV1B1R4 CCPVANILLA	1.000000	1,938,208	1,933,240
SWPCDX050	CDS USD R F 5.00000 FIX CDXTRANCHE	5.000000	113,875	104,750
SWPC1HH01	CDS USD R F 5.00000 FIX CDXTRANCHE	5.000000	445,220	435,072
SWU09GJ52	IRS GBP P V 12MUKPRI INFLATIONZERO UKRPI CCP LCH	3.585000	(124,690)	(135,445)
SWPCDX027	CDS USD R F 5.00000 FIX CDXTRANCHE	5.000000	115,900	104,750
SWPCOJC45	CDS EUR P V 03MEVENT 2 CCPCORPORATE	1.000000	(954,645)	(966,620)
SWPCNC782	CDS USD R F 5.00000 FIX CDXTRANCHE	5.000000	447,560	435,072
SWPCOKKA9	CDS USD R F 1.00000 1 CCPCORPORATE	1.000000	2,820,915	2,804,879
BWU01B1V3	IRS GBP R V 12MSONIA SWUV1B1V5 CCPOIS	1.000000	2,461,267	2,438,010
SWPCOGCR0	CDS USD R F 1.00000 1 CCPCORPORATE	1.000000	2,041,565	2,018,009
SWPCOFAA1	CDS EUR P V 03MEVENT 2 CCPCORPORATE	1.000000	(430,000)	(454,880)
SWPCOKKK7	CDS EUR P V 03MEVENT 2 CCPCORPORATE	1.000000	(2,931,629)	(2,956,719)
SWPCOK3J9	CDS EUR R F 1.00000 1 CCPCORPORATE	1.000000	598,585	573,445
SWU00UFD7	IRS CAD P V 03MCDOR SWUV0UFD9 CCPVANILLA	0.502500	(993,087)	(1,029,173)
SWU01A053	IRS CAD R F 1.96250 SWU01A053 CCPVANILLA	1.962500	4,558,533	4,521,663

Rio Tinto America Inc. Retirement Plan Trust

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(a)	(b)/(c)	(c)	(d)	(e)
Identity of Issuer, Borrower, Lessor or Similar Party				
Description of Investment including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value				
		Interest Rate	Cost - Base	Market Value - Base
SWPC0JU94 CDS EUR R F 1.00000 1 CCPCORPORATE		1.000000	481,757	444,792
SWPC0K3K6 CDS EUR R F 1.00000 1 CCPCORPORATE		1.000000	957,972	916,243
SWPC0K383 CDS EUR R F 1.00000 1 CCPCORPORATE		1.000000	962,110	912,859
BWU01B1Q4 IRS EUR R V 06MEURIB SWUV1B1Q6 CCPVANILLA		1.000000	2,557,351	2,501,839
SWU010D13 IRS CAD P V 03MCDOR SWUV10D15 CCPVANILLA		0.500000	(1,567,749)	(1,662,510)
SWU01ANK5 IRS ZAR R F 5.72250 SWU01ANK5 CCPVANILLA		5.722500	662,885	553,165
SWPC0KBS0 CDS EUR P V 03MEVENT 2 CCPITRAXX		1.000000	(21,377,507)	(21,493,075)
SWU01ANE9 IRS ZAR R F 5.68000 SWU01ANE9 CCPVANILLA		5.680000	773,762	644,271
SWU010CK9 IRS CAD P V 03MCDOR SWUV10CK1 CCPVANILLA		0.492500	(3,149,016)	(3,325,021)
SWPC0GPG0 CDS EUR R F 1.00000 1 CCPITRAXX		1.000000	2,137,008	1,958,076
SWU017BD1 IRS ZAR R F 4.84750 SWU017BD1 CCPVANILLA		4.847500	2,391,888	2,091,266
SWU01BAV3 IRS BRL R F 7.90000 SWU01BAV3 CCPNDFPREDISWAP		7.900000	3,583,178	3,206,424
SWU01B1T8 IRS GBP R F .50000 SWU01B1T8 CCPOIS		0.500000	9,246,281	8,823,570
SWU016XD9 IRS ZAR R F 5.02500 SWU016XD9 CCPVANILLA		5.025000	6,030,808	5,480,098
SWU000T61 IRS HUF R F 1.25000 SWU000T61 CCPVANILLA		1.250000	2,577,382	1,896,866
SWU01ANZ2 IRS MXN R F 6.01527 SWU01ANZ2 CCPVANILLA		6.015270	10,901,361	9,959,197
SWU01AP15 IRS BRL R F 6.78875 SWU01AP15 CCPNDFPREDISWAP		6.788750	25,296,478	22,235,468
Total Fixed Income - Swaps				(1,193,085)
Total Fixed Income - Credit Default Swaps, Interest Rate Swaps and Options				(1,755,818)
US TREASURY N/B 08/50 1.375		1.375000	28,710,819	31,832,650
US TREASURY N/B 02/41 1.875		1.875000	24,201,900	25,529,336
UNIV OF CALIFORNIA CA REVENUES UNVHGR 05/12 FIXED 4.858		4.858000	2,400,000	3,540,130
US TREASURY N/B 11/40 1.375		1.375000	18,627,764	19,727,282
BAY AREA CA TOLL AUTH TOLL BRI BAYTRN 10/50 FIXED 6.907		6.907000	1,760,312	2,331,618
CHICAGO IL TRANSIT AUTH SALES CHITRN 12/40 FIXED 6.899		6.899000	1,216,845	1,776,167
US TREASURY N/B 05/46 2.5		2.500000	6,261,749	6,684,589
US TREASURY N/B 05/48 3.125		3.125000	6,311,339	6,661,540
STRIP PRINC 11/39 0.00000		0.010000	5,680,801	6,025,598
US TREASURY N/B 08/41 1.75		1.750000	15,954,303	16,248,578
US TREASURY N/B 11/47 2.75		2.750000	3,057,395	3,282,107
US TREASURY N/B 02/48 3		3.000000	1,811,753	1,978,348
AMERICAN MUNI PWR OHIO INC OH AMEPWR 02/41 FIXED 7.834		7.834000	842,376	993,111
STRIP PRINC 08/44 0.00000		0.010000	1,956,456	2,103,876
US TREASURY N/B 05/41 2.25		2.250000	2,187,343	2,319,109
N TX TOLLWAY AUTH REVENUE NRTTRN 01/49 FIXED 6.718		6.718000	1,590,450	1,692,065
SAN DIEGO CNTY CA WTR AUTH FIN SDGWTR 05/49 FIXED 6.138		6.138000	1,908,670	2,003,011
CALIFORNIA ST CAS 04/39 FIXED 7.55		7.550000	2,190,689	2,280,604
LOS ANGELES CA CMNTY CLG DIST LOSHGR 08/49 FIXED 6.75		6.750000	1,632,260	1,721,423
NEW YORK CITY NY MUNI WTR FIN NYCUTL 06/43 FIXED 5.44		5.440000	1,100,888	1,156,838
MASSACHUSETTS ST TRANSPRTN FUN MASTRN 06/40 FIXED 5.731		5.731000	1,318,160	1,372,900
UNIV OF CALIFORNIA CA RGTS MED UNVHGR 05/49 FIXED 6.583		6.583000	800,624	848,122
UNIV OF CALIFORNIA CA REVENUES UNVHGR 05/45 FIXED 5.946		5.946000	806,442	849,858
NEW YORK CITY NY TRANSITIONAL NYCGEN 08/37 FIXED 5.508		5.508000	1,376,129	1,414,431
NEW JERSEY ST TURNPIKE AUTH TU NJSTRN 01/40 FIXED 7.414		7.414000	954,061	974,973
US TREASURY N/B 10/28 1.375		1.375000	5,268,246	5,282,686
DALLAS CNTY TX HOSP DIST DALMED 08/44 FIXED 5.621		5.621000	239,719	252,980
NEW YORK CITY NY MUNI WTR FIN NYCUTL 06/42 FIXED 5.952		5.952000	295,155	308,354
LOS ANGELES CA UNIF SCH DIST LOSSCD 07/34 FIXED 6.758		6.758000	2,503,842	2,515,837
MET TRANSPRTN AUTH NY REVENUE MTATRN 11/40 FIXED 6.814		6.814000	1,416,060	1,427,322
US TREASURY N/B 08/51 2		2.000000	(1,089,902)	(1,079,691)
NEW YORK NY NYC 12/37 FIXED 6.271		6.271000	1,074,838	1,079,968

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Description of Investment including Maturity Date, Rate of Interest, Collateral, Par or Maturity Value				
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SAN ANTONIO TX ELEC GAS REVE SANUTL 02/39 FIXED 5.985		5.985000	291,856	296,639
US TREASURY N/B 11/31 1.375		1.375000	8,221,362	8,224,761
CONNECTICUT ST CTS 03/32 FIXED 5.85		5.850000	453,138	455,096
TSY INFL IX N/B 01/26 0.625		0.625000	1	1
US TREASURY N/B 08/30 0.625		0.625000	4,586,282	4,578,559
TEXAS ST TRANSPRTN COMMISSIONS TXSTRN 04/26 FIXED 5.028		5.028000	843,488	826,865
US TREASURY N/B 02/31 1.125		1.125000	5,073,070	5,053,547
US TREASURY N/B 08/51 2		2.000000	10,161,054	10,118,776
US TREASURY N/B 11/51 1.875		1.875000	12,212,708	12,162,828
US TREASURY N/B 05/50 1.25		1.250000	2,692,099	2,635,285
US TREASURY N/B 11/49 2.375		2.375000	95,103,277	94,860,552
US TREASURY N/B 05/51 2.375		2.375000	60,817,668	60,570,073
US TREASURY N/B 08/49 2.25		2.250000	23,521,743	22,839,022
Total Fixed Income - U.S. Government Securities				377,757,724
STANDARD INDUSTRIES INC. 2021 TERM LOAN B		0.000000	190,154	192,475
Total Fixed Income				810,488,816
Commingled Funds (Fixed Income)				
PIMCO FDS PAC INVT MGMT SER ASSET BKD SECS PORTFOLIO		0.000000	3,258,802	3,291,361
PIMCO FDS SHORT TERM FLTG NAV MUTUAL FUND		0.000000	177,908	177,906
Total Fixed Income Commingled Funds				3,469,267
Loans Secured by Mortgages				
FNMA TBA 30 YR 3.5 SINGLE FAMILY MORTGAGE		3.500000	6,261,970	6,272,549
FNMA TBA 30 YR 2 SINGLE FAMILY MORTGAGE		2.000000	(2,591,824)	(2,588,333)
GNMA II TBA 30 YR 2.5 JUMBOS		2.500000	1,326,000	1,329,250
BANK BANK 2019 BN21 A5		2.851000	96,195	99,000
BANK BANK 2019 BN20 A3		3.011000	60,150	61,722
GNMA II TBA 30 YR 2 JUMBOS		2.000000	502,539	503,887
FNMA POOL AS5068 FN 06/45 FIXED 3.5		3.500000	87,679	88,860
FNMA TBA 30 YR 3 SINGLE FAMILY MORTGAGE		3.000000	412,813	413,723
FNMA TBA 30 YR 2.5 SINGLE FAMILY MORTGAGE		2.500000	(407,195)	(407,408)
FNMA TBA 30 YR 4 SINGLE FAMILY MORTGAGE		4.000000	10,534,219	10,527,644
FNMA TBA 30 YR 4.5 SINGLE FAMILY MORTGAGE		4.500000	7,128,773	7,072,313
Total Loans Secured by Mortgages				23,373,207
Partnership/Joint Ventures Interest				
* AXA EARLY SECONDARY FUND V MUTUAL FUND		0.000000	1,568,577	8,958,976
* AXA CAPITAL EUROPE LP PRIVATE PLACEMENT		0.000000	87,385	481,395
* AXA CAPITAL AMERICA LP LP PRIVATE PLACEMENT		0.000000	62,773	424,427
* AXA PRIVATE EQUITY FD II PRIVATE EQUITY		0.000000	9,582	9,853
* AXA SECONDARY FUND V, PL LIMITED PARTNERSHIP		0.000000	350,441	187,729
PANTHEON USD FUND IX LIMITED PARTNERSHIP		0.000000	5,848,487	25,054,573
WALTON STREET REAL ESTATE MUTUAL FUNDS FUND VI		0.000000	240,650	14,925,722
AESF VI LP		0.000000	11,252,930	21,912,115
ARDIAN SECONDARY FUND VII LIMITED PARTNERSHIP		0.000000	6,305,630	16,789,675
WALTON REAL ESTATE FUND VIII, PRIVATE PLACEMENT		0.000000	10,181,581	19,890,443
PANTHEON EUROPE FUND VII LP MUTUAL FUND		0.000000	184,321	7,942,028
WALTON STREET RE VII LIMITED PARTNERSHIP		0.000000	1	6,254,254
NORTHLEAF GLBL PVT EQTY III LIMITED PARTNERSHIP		0.000000	2,380,554	9,265,353
PANTHEON USA FUND VIII LP LP PRIVATE PLACEMENT		0.000000	1,898,233	6,869,500

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PANTHEON ASIA FUND VI LP COMMON STOCK		0.000000	8,942,212	13,476,087
DRA GROWTH + INCOME FUND IX		0.000000	12,640,082	16,536,641
PORTFOLIO ADVISORS PRIVATE EQ FUND VI LP		0.000000	2,611,521	5,994,705
PANTHEON ASIA FUND V LP LP PRIVATE PLACEMENT		0.000000	223,689	2,177,117
DRA GROWTH AND INCOME FUND VII LIMITED PARTNERSHIP		0.000000	3,762,784	2,980,947
PORTFOLIO ADVISORS SF II LIMITED PARTNERSHIP		0.000000	7,509,183	5,174,571
Total Partnership/Joint Ventures				185,306,111
552992935 JPM STRATEGIC PROPRT JPMCB COMMINGLED FUND		0.000000	24,864,462	50,804,689
Total Real Estate Commingled Fund				50,804,689
Total Partnership/Joint Ventures Interest				236,110,800
Preferred Stock				
* STATE STREET CORP PREFERRED STOCK VAR		0.000000	45,000	49,159
JPMORGAN CHASE + CO PREFERRED STOCK 4.2		0.000000	2,500,000	2,552,000
JPMORGAN CHASE + CO PREFERRED STOCK 4.625		0.000000	500,000	522,200
Total Preferred Stock				3,123,359
Cash Collateral				
FUTURES MORGAN STANLEY COC FUTURES CASH COLLATERALRAL USD		0.000000	1,534,000	1,534,000
BARCLAYS CAPITAL INC DOM MSF CASH COLLATERAL		0.000000	2,000	2,000
MORGAN STANLEY TBA CASH COLLATERAL		0.000000	(10,000)	(10,000)
CCMSCZUS2 CCPC COC EQUITY MORGAN STANLEY CASH COLLATERAL		0.000000	2,747,000	2,747,000
SWAP CCPC MORGAN STANLEY COC SWAP CCPC CASH COLLATERAL		0.000000	1,186,000	1,186,000
CCTORIUS6 TD BANK COC SWCC CCTORIUS6 TD BANK COC SWCC		0.000000	60,000	60,000
CCPC CCMSCHUS2 COC CCPC CASH COLLATERAL USD		0.000000	39,000	39,000
FORWARDS CCUBSDUS2 USD COC FWCC CASH COLLATERAL USD		0.000000	1,210,000	1,210,000
CCMYIUS1 SWBC MORGAN STANLEY SWAP CASH COLLATERAL USD		0.000000	(10,000)	(10,000)
SWAP BANK OF AMERICA COC SWAP CASH COLLATERAL USD		0.000000	290,000	290,000
GOLDMAN SACHS BANK USA COC SWAP CASH COLLATERAL USD		0.000000	320,000	320,000
MORGAN STANLEY CAP SVCS BOC SWAP CASH COLLATERAL USD		0.000000	(20,000)	(20,000)
MORGAN STANLEY CAP SVCS COC SWAP CASH COLLATERAL USD		0.000000	210,000	210,000
Total Cash Collateral				7,558,000
Total Investments per Financial Statements and Form 5500				1,117,621,844

* A party-in-interest as defined by ERISA.

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Schedule SB, line 32—Schedule of Amortization Bases

Type of Base	Present Value of Installments	Valuation Date Established	Remaining Years in Amortization Period	Amortization Amount
Shortfall	\$25,976,517	January 1, 2021	15	\$2,422,092

Under the American Rescue Plan Act of 2021 (ARPA), the shortfall relief wipes out existing shortfall amortization bases and changes the amortization period. By default, this relief would have applied starting with the 2022 plan year. This Schedule SB reflects the ARPA shortfall relief effective with the 2021 plan year, per the election made by Rio Tinto America Inc. made on August 12, 2021.

Schedule SB Attachment (Form 5500)—2021 Plan Year
Rio Tinto America Inc. Retirement Plan
EIN: 11-3359689 PN: 001

Schedule SB, line 24—Change in Actuarial Assumptions

The funding valuation reflects the following assumption changes:

- A change in the assumed combined expenses payable from the trust from \$4,223,520 (\$2,844,066 for RTA, \$418,653 for Borax, and \$960,801 for Kennecott) to \$3,827,495.
- A change in the funding asset return assumption from 4.90% for 2020 to 4.10% for 2021.
- A change in the salary scale assumption from 3.50% to 3.60%, and a change in the future wage indices from 2.50% to 2.60%.

These changes were made to better reflect anticipated plan experience. The non-prescribed assumption changes did not reduce the funding shortfall by more than \$5 million; as such, approval of the Commissioner is not required.