

Edgar Filing: STEPAN CO - Form SC 13G/A

STEPAN CO  
Form SC 13G/A  
February 12, 2002

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Page 1 of 4

SCHEDULE 13G/A  
(12/31/2001)

STEPAN CO  
Cusip # 858586100  
Amendment

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Page 2 of 4

Cusip # 858586100

Item 1: REPORTING PERSONS  
Dimensional Fund Advisors Inc. (Tax ID: 22-2370029)

Item 4: CITIZENSHIP  
Delaware Corporation

Item 5: SOLE VOTING POWER  
609800 \*\* see Note 1 \*\*

Item 6: SHARED VOTING POWER --  
None

Item 7: SOLE DISPOSITIVE POWER --  
609800 \*\* see Note 1 \*\*

Item 8: SHARED DISPOSITIVE POWER --  
0

Item 9: AGGREGATE AMOUNT BENEFICIALLY OWNED --  
609800 \*\* see Note 1 \*\*

Item 11: PERCENT OF CLASS REPRESENTED BY LINE 9 --  
6.606001517

Item 12: TYPE OF REPORTING PERSON --  
IA

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Page 3 of 4

ITEM 1(A). NAME OF ISSUER

STEPAN CO

ITEM 1(B). ADDRESS OF ISSUER

Edens & Winnetka Rd  
Northfield, IL 60093

ITEM 2(A). NAME OF PERSON FILING

Dimensional Fund Advisors

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ITEM 2(B). ADDRESS OF PRINCIPAL BUSINESS OFFICE  
1299 Ocean Avenue, 11th Floor, Santa Monica, CA 90401

ITEM 2(C). CITIZENSHIP  
A Delaware Corporation

ITEM 2(D). TITLE OF CLASS OF SECURITIES  
Common Stock

ITEM 2(E). CUSIP NUMBER  
858586100

ITEM 3. This statement is filed pursuant to Rule 13d-1 (b), or 13d-2 (b) and the person filing is an investment advisor registered under section 203 of the Investment Advisors Act of 1940.

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Page 4 of 4

ITEM 4. OWNERSHIP  
ITEM 4(a). AMOUNT BENEFICIALLY OWNED  
609800 \*\* see Note 1 \*\*  
ITEM 4(b). PERCENT OF CLASS  
6.606001517  
ITEM 4(c). NUMBER OF SHARE AS TO WHICH SUCH PERSON HAS:  
(i). SOLE POWER TO VOTE OR DIRECT THE VOTE --  
609800 \*\* see Note 1 \*\*  
(ii). SHARED POWER TO VOTE OR TO DIRECT THE VOTE --  
None  
(iii). SOLE POWER TO DISPOSE OR TO DIRECT DISPOSITION OF --  
609800 \*\* see Note 1 \*\*  
(iv). SHARE POWER TO DISPOSE OR TO DIRECT DISPOSITION OF --  
None

\*\* Note 1 \*\*

Dimensional Fund Advisors Inc. ("Dimensional"), an investment advisor registered under Section 203 of the Investment Advisors Act of 1940, furnishes investment advice to four investment companies registered under the Investment Company Act of 1940, and serves as investment manager to certain other commingled group trusts and separate accounts. These investment companies, trusts and accounts are the "Funds". In its role as investment advisor or manager, Dimensional possesses voting and/or investment power over the securities of the Issuer described in this schedule that are owned by the Funds. All securities reported in this schedule are owned by the Funds. Dimensional disclaims beneficial ownership of such securities.

ITEM 5. OWNERSHIP OF FIVE PERCENT OR LESS OF A CLASS  
If this statement is being filed to report the fact that as of 12/31/2001 the reporting person has ceased to be the beneficial owner of more than five percent of the class of securities, check the following: []

ITEM 6. OWNERSHIP OF MORE THAN FIVE PERCENT ON BEHALF OF ANOTHER PERSON

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All Securities reported in this schedule are owned by advisory clients of Dimensional Fund Advisors Inc., no one of which to the knowledge of Dimensional Fund Advisors Inc. owns more than 5% of the class. Dimensional Fund Advisors Inc disclaims beneficial ownership of all such securities.

- ITEM 7. IDENTIFICATION AND CLASSIFICATION OF THE SUBSIDIARY WHICH ACQUIRED THE SECURITY BEING REPORTED ON BY THE PARENT HOLDING COMPANY:  
Not Applicable
- ITEM 8. IDENTIFICATION AND CLASSIFICATION OF MEMBERS OF THE GROUP  
Not Applicable
- ITEM 9. NOTICE OF DISSOLUTION OF GROUP  
Not Applicable
- ITEM 10. CERTIFICATION  
By signing below I certify that, to the best of my knowledge and belief, the securities referred to above were acquired in the ordinary course of business and were not acquired for the purpose of and do not have the effect of changing or influencing the control of the issuer of such securities and were not acquired in connection with or as a participant in any transaction having such purposes or effect.

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

Signature

Wednesday, January 30, 2002

Michael T. Scardina  
Vice President and Chief Financial Officer

yle="font-family:inherit;font-size:10pt;font-weight:bold;">Identification Number)

10943 North Sam Houston Parkway West 77064  
Houston, Texas  
(Address of principal executive offices) (Zip Code)

Todd R. Moore  
Executive Vice President, Chief Legal, Risk & Compliance Officer and Corporate Secretary  
(281) 897-7788  
(Name and telephone number, including area code, of person to contact in connection with this report)

Check the appropriate box to indicate the rule pursuant to which this form is being filed, and provide the period to which the information in this form applies:

Rule 13p-1 under the Securities Exchange Act (17 CFR 240.13p-1) for the reporting period from January 1 to  
X December 31, 2017.



## SECTION 1 – CONFLICT MINERALS DISCLOSURE

### Item 1.01 Conflict Minerals Disclosure and Report.

This Form SD of NCI Building Systems, Inc. (“NCI”, “we”, “our” or “us”) is filed pursuant to Rule 13p-1 of the Securities and Exchange Act of 1934, as amended, (“Rule 13p-1”) for the reporting period beginning January 1, 2017 and ending December 31, 2017. Unless otherwise defined, any term used herein shall have the meaning ascribed to such term in Rule 13p-1 or Form SD.

NCI is an integrated manufacturer and marketer of metal products for the nonresidential construction industry. In accordance with Rule 13p-1, NCI surveyed the products manufactured by NCI or contracted by NCI to be manufactured and concluded that paint and foam insulation used in NCI’s metal products may contain tin, tantalum, tungsten or gold, (collectively, “3TG” or “conflict minerals”) that are necessary to the functionality or production of such products. NCI understands that certain of its suppliers use tin as a catalyst or component in the production of certain paint products supplied to NCI. NCI further understands that conflict minerals may be present in expandable resins or foams contained in its insulated metal panels. NCI undertook in good faith a reasonable country of origin inquiry (“RCOI”) to determine whether the 3TG used in the production of paint incorporated into NCI’s metal products or foams contained in NCI’s insulated metal panels originated in the Democratic Republic of the Congo or one of its adjoining countries (collectively, the “Covered Countries”).

NCI does not purchase raw materials directly from mines, smelters or refiners. Accordingly, NCI relies on direct suppliers in the supply chain between NCI and the original sources of raw materials to provide information regarding the origin of any conflict minerals that may be included in NCI’s products.

As a downstream purchaser of conflict minerals, NCI’s RCOI and due diligence measures can provide only reasonable - not absolute - assurance regarding the source and chain of custody of the necessary conflict minerals. NCI’s RCOI and due diligence processes are based on the necessity of seeking data from direct suppliers and those suppliers seeking similar information within their supply chains to identify the original sources of the necessary conflict minerals.

As part of NCI’s due diligence, a conflict minerals team comprised of individuals from NCI’s legal department communicates regularly and meets periodically to discuss NCI’s compliance efforts. NCI began an outreach program to notify direct suppliers of NCI’s obligations under the Conflict Minerals Rules. In 2014, with assistance of outside legal counsel, the team created and published a formal conflict minerals policy, which is available on NCI’s website at [www.ncibuildingsystems.com](http://www.ncibuildingsystems.com) under “Sustainability/Responsibility - Conflict Minerals.”

NCI initiated the RCOI process for the 2017 compliance year by sending an email and a letter to each of its paint and foam insulation suppliers who sold NCI products that contained or may have contained necessary conflict minerals. The letter stated NCI’s position on the sourcing of conflict minerals and requested that each supplier (i) determine whether it supplies NCI with goods or materials containing conflict minerals, (ii) identify all smelters in its supply chain that supply conflict minerals, and (iii) complete and return a copy of the EICC-GeSI Conflict Minerals Reporting Template (the “Conflict Minerals Reporting Template”) developed by the Electronic Industry Citizenship Coalition (“EICC”) and the Global e-Sustainability Initiative (“GeSI”). The template was developed to increase the flow of information about conflict minerals between suppliers and customers. The template requests information about NCI’s suppliers’ policies, engagement with their suppliers, names and locations of smelters and refiners, and origin of conflict minerals. NCI used this template in order to provide a readily recognizable form to its suppliers and ideally ease the burden in replying.

NCI developed a documentation system to track survey progress and responses, which enabled it to identify direct suppliers that failed to provide the requested information. Members of the conflict minerals team followed up with each supplier that did not respond and maintained a log to chronicle communication with suppliers. The team reviewed and analyzed the responses from suppliers and determined which suppliers required further discussion to address unclear or incomplete responses.

NCI asked any supplier that confirmed the use of 3TG in their products to identify the source of the 3TG, including information on smelters or mines of origin. NCI inquired about policies on the use of conflict minerals in their products and educated them on NCI's expectations regarding conflict minerals. Suppliers that submitted incomplete responses were strongly encouraged to engage with their own suppliers and continue to seek the necessary information to fully and accurately complete the template. Through these efforts, by the end of its diligence process, responses were received from all of the suppliers that NCI surveyed.

Most of NCI's suppliers informed us, either by return of the Conflict Minerals Reporting Template or by notice on company letterhead, that none of the products supplied to NCI contained 3TG minerals. Of the suppliers that indicated the products they supply to NCI do contain necessary 3TG, all represented that the 3TG in such products did not originate in the Covered Countries, and these suppliers provided a list of the names and locations of the smelters of minerals in their supply chain. In each such case,

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NCI reviewed the list and confirmed that none of the smelters listed are located in a Covered Country. Based on its RCOI, NCI is not aware, and it has concluded that it has no reason to believe, that any of the necessary conflict minerals contained in products it manufactured or contracted to manufacture in 2017 originated or may have originated in the Covered Countries.

A copy of this discussion is publicly available on NCI's website at [http://www.ncibuildingsystems.com/sustainability\\_conflictminerals.html](http://www.ncibuildingsystems.com/sustainability_conflictminerals.html).

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SIGNATURES

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the duly authorized undersigned.

NCI BUILDING SYSTEMS, INC.

By: /s/ Todd R. Moore

Name: Todd R. Moore

Title: Executive Vice President, Chief Legal, Risk & Compliance Officer and Corporate Secretary

Date: May 24,  
2018