



中证指数有限公司
CHINA SECURITIES INDEX CO., LTD.

**Measures for the Handling of
External Inquiries and Complaints
Relating to Index Business of
China Securities Index Company Limited**

V2.0

March 2020

Version Number	Change Time	Change Scope
1.0	201809	Rulemaking
2.0	202003	Definition of important inquiries and complaints, handling process

Chapter I General Provisions

Article 1 These Measures are set up to regulate the procedures of handling external inquiries and complaints, improve the problem-solving efficiency, and facilitate professional competence of China Securities Index Company Limited (the “Company”).

Article 2 “External inquiries and complaints” means the inquiries, suggestions, and complaints relating to the Company’s business made by the Company's clients, suppliers, cooperative institutions or any other institutions and individuals, including:

- (1) Input data of index calculation
- (2) Output data of index calculation
- (3) Data services
- (4) Index methodology
- (5) Index adjustment results
- (6) Treatment on corporate events of index constituents
- (7) Industry classification
- (8) Other related matters

Chapter II Organization

Article 3 The Company shall set up an External Inquiries and Complaints Handling Team (the "Team"), consisting of a team leader and members appointed by each department. The Team shall be in charge of receiving and coordinating the processing of external inquiries and complaints.

Article 4 The email account set up by the Company for receiving inquiries and complaints is csicstl@csindex.com.cn, which shall be maintained by the Team on a daily basis and shall be published on the Company’s website.

Chapter III Procedures

Article 5 The Team shall summarize and keep records of the inquiries and complaints upon receipt. Important inquiries and complaints shall include those in relation to the suspension or termination of calculation (or publication) of an important index or the material changes to the index methodology of an important index. Team members shall

confirm to the submitter the receipt of the inquiries or complaints and forward such inquiries or complaints to the head of the related department generally within three working days. The head of the related department shall appoint a staff to handle. In the event that the complaint concerns any team member, such member shall recuse himself/herself from the handling process.

Article 6 The staff shall prepare a plan for resolving such inquiries and complaints in a timely manner. Urgent inquiries and complaints shall be dealt with priority and shall be reported directly to the Company's management body when necessary.

Article 7 The plan for important inquiries and complaints is subject to the examination and approval of the General Manager, and shall be submitted to the Index Advisory Committee for deliberation in advance if applicable. The plan for common complaints shall be approved by the team leader. The plan for common inquiries does not need approval.

Article 8 Upon the determination of the plan, the staff shall feed back to the team member. The team member shall feed back to the submitter in a timely manner and record the follow-up. The plan shall be published on the Company's website when necessary.

Article 9 For further inquiries and complaints regarding the plan made by the submitter or by other institutions or individuals, Article 6 to Article 8 shall apply as a reference.

Article 10 The Team shall periodically summarize the inquiries and complaints relating to index business received along with their handling results and provide report to the Index Oversight Committee for review. The handling process of any important inquiry and complaint shall be submitted to the Index Advisory Committee for review if applicable.

Article 11 Where the inquiries and complaints concern the error of output data of index calculation, suspension or termination of index calculation (or publication), amendment to index methodologies, etc., the Measures for the Handling of Index Correction, the Measures for the Handling of Index Termination, the Measures for the Implementation of Change of Index Methodologies and other relevant measures shall apply as a reference.

Article 12 All documents and records in relation to any inquiries and complaints shall be kept for at least five years.

Chapter IV Supplementary Provisions

Article 13 The Executive Management Team shall be responsible for overseeing the implementation of these Measures. In the event that any non-compliance is found, the Executive Management Team shall have the power to punish the relevant persons according to the seriousness of the misbehavior.

Article 14 These Measures are subject to the interpretation of the External Inquiries and Complaints Handling Team.

Article 15 These Measures or any revised version shall come into effect upon the examination and approval of the Executive Management Team.

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