



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

**Emergency Response Policy
of Index Calculation of
China Securities Index Company Limited**

V1.0

September 2018

Chapter I General Provisions

Article 1 In accordance with the existing calculation process and calculation systems of China Securities Index Co., Ltd. (“the Company”), this Policy is set up to strengthen the security of the index calculation process and standardize the emergency response in such process.

Article 2 This Policy applies to all emergency scenarios and staff engaged in the index calculation process of the Company.

Article 3 The basic principles of the emergency response of the Company are: focusing on the enhancement of security and stability of index calculation, establishing and improving the internal emergency treatment system of the Company, preventing risks and properly handling the emergency events.

Chapter II Emergency Response

Article 4 Any staff who finds out abnormality relating to index calculation shall immediately report to the related system supervisor.

Article 5 The system supervisor shall deal with any abnormality according to the emergency handling manual of related system and report to the head of the department immediately.

Article 6 In the event of any significant emergency scenario, such as the abnormal closing of stock exchanges, the head of the department shall immediately report to the officer in charge of the relevant department, who shall determine the emergency operation plan of it.

Article 7 In case the emergency event is not mentioned in the emergency handling manual, the system supervisor shall immediately report to the head of the department to discuss and determine how to handle the situation.

Article 8 Such emergency events mentioned in Article 7 shall be recorded in the emergency handling manual and “the Risk Event Database” after being solved.

Article 9 The Technology and Operations Department shall launch an emergency event drill semiannually and other related departments shall cooperate. When it is finished, a final

summary report shall be made.

Chapter 3 Supplementary Provisions

Article 10 The Executive Management Team shall be responsible for overseeing the implementation of this Policy. 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 11 This Policy is subject to the interpretation of the Executive Management Team.

Article 12 The Policy or any revised version shall come into effect upon the examination and approval of the Executive Management Team.

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