



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

Measures for Index Research and Publication of China Securities Index Company Limited

V1.0

September 2018

Article 1 These Measures are set forth to regulate the research and publication of indexes and to improve the compliance, professionalism, and efficient enforcement of the China Securities Index Company Limited (the “Company”).

Article 2 The Company establishes the Index Advisory Committee to assess, review and suggest on important rules of maintenance for index methodologies and to suggest on other matters related to the index operation and business development.

Article 3 According to the development strategy and market demand of index business, the Company shall determine the annual plan of index research and development (the “Annual Plan”). Annual Plan shall be carried out after being examined and approved by the Executive Management Team.

Article 4 According to the Annual Plan and market demand, the Company shall make detailed monthly working plan (the “Monthly Plan”) to ensure the implementation and follow-up of the Annual Plan.

Article 5 According to the Annual Plan and Monthly Plan, the Research and Development Department shall carry out the feasibility study of project, formulate preliminary methodologies, and complete the research and development reports.

Article 6 The project supervisor shall submit the index, which passes the feasibility study, to the project discussion panel according to the Measures for Review of Index Project. The project supervisor shall fill in the “Confirmation Sheet of Index Projects” for indexes which the related plans have been confirmed. The sheet shall be signed by the officer in charge of the relevant department.

Article 7 The Research and Development Department shall initiate the signing and reporting process, fill in the “Reporting Sheet of Index Projects”, and submit the sheet to the general manager for signature.

Article 8 After assessment, the Research and Development Department shall report indexes which evaluated to have important influence and comprehensive broad-based indexes which have market-wide representation to the Index Advisory Committee for discussion. Such indexes shall be reported to and the relevant approval shall be signed by the management body of the Company.

Article 9 The project supervisor shall prepare the necessary materials for index publication, such as announcements (Chinese and English version), press release, methodologies (Chinese and English version), the latest constituents, signed report sheets of index project, etc.

Article 10 The project supervisor shall fill in the “Information Publication Form”, which shall then be signed respectively by the head of department and the general manager. The project supervisor shall confirm the process by filling in a confirmation sheet. The confirmation sheet shall be signed by the head of the relevant department and then be submitted to the Management and Maintenance department.

Article 11 The project supervisor shall submit the historical tracking materials to the Management and Maintenance department and fill in the application form.

Article 12 After indexes enter into the publication process, the project supervisor shall archive the files in accordance with the “Measures for Archives Management” and the “Record-keeping Process of Index Files of the Research and Development department” of the Company.

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 and revision of the Research and Development department.

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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