

Index Inquiry and Complaint Handling Measures of Sino-Securities Index Information Service (Shanghai) Co., Ltd

V 1.0

February 2022

Time of Revision	Version	Notes
2022.02.	V1.0	Rule-making.

1. General Provision

Article 1 These Measures are set up to regulate the procedures of receiving and handling external inquiries and complaints relating to index business of Sino-Securities Index Information Service (Shanghai) Co., Ltd (“SNSI” or “the Company”), and improve the problem-solving efficiency.

Article 2 The external inquiries and complaints involved in these measures refer to the inquiries, suggestions and complaints of SNSI's customers, suppliers, cooperative institutions, other institutions or individuals regarding SNSI's business, including:

- Input data of index calculation;
- Output data of index calculation;
- Data services;
- Index methodology;
- Results of index constituents adjustment;
- Treatment on corporate events of index constituents;
- Industry classification;
- Other matters related to index business.

Article 3 These Measures stipulate the handling methods for important complaints and the media response methods to ensure that relevant emergencies can be dealt with in a timely and proper manner.

2. Responsibility Requirements

Article 4 The External Inquiry and Complaint Handling Team (“the Team”) is set up with a team leader, and each department assigns an employee to serve as a team member. The Team is responsible for receiving external inquiries and complaints, as well as coordinating the handling process within SNSI.

Article 5 The e-mail address for receiving inquiries and complaints is

ssi@chindices.com, which is managed by the Team. The email address and the contact number are available on SNSI's website.

3. Classification and Workflow

Article 6 After receiving inquiries and complaints, the Team makes preliminary classification and analyze their importance. The contents of important inquiries and complaints involve suspension or termination of important indices calculation and significant modification to important indices methodologies.

Article 7 The complainant of a formal complaint shall provide information including name, contact information, date, complaint content, impact on the complainant, expected results and other information (Appendix 1). If the complainant does not provide complete information, or the complaint is not highly related to SNSI's index business, it will be regarded as an informal complaint.

Article 8 Complaints from any party should be handled in a timely and fair manner. For informal complaints, the Team is still required be keep records and provide feedback to complainants in a timely manner.

Article 9 After receiving the inquiry or complaint, the leader of the Team will dispatch the inquiry or complaint to the relevant team member to handle according to the theme within two working days. If necessary, the Team member will coordinate with the relevant department heads. When a complaint involves an individual team member, that member should recuse himself from the process. Each team member shall formulate handle plans in a timely manner. Urgent inquiries and complaints should be handled expeditiously and reported to the Company's management if necessary.

Article 10 The handling plan of important inquiries and complaints shall be

submitted to the Executive Management Team for approval, and if necessary, it should be submitted to the Index Advisory Committee for deliberation. The handling of general inquiries and complaints shall be submitted to the head of the Team for approval.

Article 11 After the handle plan is determined, the members of the Team should give feedback to the submitter of the inquiry or complaint, and make a follow-up record of the feedback. Feedback should be completed within ten working days of receipt of an inquiry or complaint.

Article 12 If the submitter or any other institution or individual raises further inquiry or complaint about the handling plan, it shall be implemented with reference to Article 9 to 11.

Article 13 The Team shall periodically summarize the index related inquiries and complaints received along with their handling results and provide report to the Index Oversight Committee for review.

Article 14 Where the inquiries and complaints concern calculation error of index data, suspension or termination of index calculation (or release), revision of index methodologies, etc., the relevant measures shall apply as a reference.

Article 15 Documents and records of all inquiries and complaints should be kept for at least five years.

4. Supplementary Provisions

Article 16 The Executive Management Team is responsible for supervising the implementation of these Measures. Once it is found that there is any non-compliance, the Executive Management Team has the right to impose penalties on relevant personnel according to the situation.

Article 17 These Measures are subject to the interpretation of the External Inquiry and Complaint Handling Team.

Article 18 These Measures or any revised version shall come into effect upon the examination and approval of the Executive Management Team.

Appendix 1

Index Business Complaint Information Registration Form

Name		Contact Information	
Employer			
Address			
Date			
Compliant Theme			
Complaint Content			
Impact on Complainant			
Expected Results			
Supplementary Items			

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