

**Measures for the Index Research and  
Release Management of Sino-Securities  
Index Information Service (Shanghai)  
Co., Ltd  
V 1.0**

**December 2021**

Time of Revision	Version	Notes
2021.12.	V1.0	Rulemaking

## 1. General Provisions

**Article 1** These Measures are set forth to regulate the research and release of indices of Sino-Securities Index Information Service (Shanghai) Co., Ltd (hereinafter referred to as the “Company” or “SNSI”).

**Article 2** These Measures apply to equity indices, bond indices, etc. managed by the Company.

## 2. Index Construction Objectives and Principles

**Article 3** The index aims to reflect the performance of a specific market, sector, industry, theme or strategy accurately, objectively and scientifically.

**Article 4** The construction of index is based on representativeness, investability and stability.

**Article 5** The index construction method should be transparent and base on rules. The index methodology should clearly describe the covered market, selection method, calculation method, and so on.

## 3. Index Research and Development

**Article 6** According to the index development plan and index demands proposed by external agencies, the Research & Development Department shall form the index methodologies and research report research and develop indices and formulate index methodologies. The index methodology should include information such as universe, selection criteria, index calculation, etc.

**Article 7** The Research & Development Department shall submit the completed Index Methodology and Research Report to the Index Review

Committee, in 7 In accordance with the Measures for the Implementation of Index Projects Review.

**Article 8** Indices which evaluated to have important influence after review, the methodology of which shall be submitted to the Index Review Committee the deliberated by the Index Advisory Committee.

## 4. Index Release Process

**Article 9** The Research & Development Department shall submit the files regarding the index announcement to the general manager, which include the index methodology, content of the release announcement, list of the constituents, etc., to the general manager.

**Article 10** After the content of the index announcement is approved by the general manager, the index announcement is published on the company's official website and the content of which in principle includes the index name, the index code, introduction of the index, the launch date of the index, etc.

**Article 11** After the index announcement is released, the Index methodology, the index quotation, etc., shall be published through the company's release platform in accordance with the launch date of the index.

## 5. Recording and Archiving

**Article 12** Records of index release include (without limitation): index code, index name, the date of the index release, the launch date of the index.

**Article 13** The Research& Development Department shall archive the files in accordance with the *Measures for Archives Management*.

## 6. Supplementary Provisions

**Article 14** The Executive Management Team shall be responsible for overseeing the implementation of these Measures. If any non-compliance is found, the Executive Management Team shall have the right to punish the relevant persons according to the seriousness of the misbehavior.

**Article 15** These measures shall be interpreted by the Research & Development Department.

**Article 16** These Measures or any revised version shall come into effect upon the examination and approval of the Executive Management Team.

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