

Guiding Note on Use of Index Information Supplied by China Securities Index Company Limited

(for Licensed Market Data Vendors, End-Users and Application Service Providers)

PURPOSE

This guiding note notifies the licensed market data vendors, end-users or application service providers (collectively “market data licensees”) on the requirement on the use of index information supplied by China Securities Index Company Limited (“CSIC”) which is being carried through the information systems of HKEX.

DETAILS

CSIC (for itself in respect of the CSIC Indexes, as agent of the Shanghai Stock Exchange in respect of the SSE Indexes and as agent of China Exchanges Services Company Limited (“CESC”) in respect of the CESC Indexes) has granted a license to HKEX-IS to provide to market data licensees the indexes listed in Schedule 1 to this note (“Indexes”, and the term “Index Information” shall mean information relating to any of the Indexes).

The Index Information is provided to market data licensees on the terms and conditions of the Market Data Vendor Licence Agreement, Market Data End-User Licence Agreement or Market Data Application Service Provider Licence Agreement (collectively “Licence Agreement”), unless otherwise provided in this note, and market data licensees are deemed to have accepted these terms and conditions by their taking delivery and/or use of such Index Information. If there are any inconsistencies between the Licence Agreement and this note, the provisions of this note shall prevail. Accordingly, market data licensees shall be bound to acknowledge and observe the following terms and conditions notwithstanding any provisions to the contrary in the Licence Agreement:

1. CSIC, the Shanghai Stock Exchange and CESC are the respective proprietors and owners of all the rights, title, goodwill and interest in the CSI Indexes and CSI Marks, the SSE Indexes and SSE Marks and the CESC Indexes and CESC Marks; and CSIC, the Shanghai Stock Exchange and CESC have registered and/or applied to register some of their respective marks in Hong Kong and elsewhere. Market data licensees by receiving the Index Information from HKEX-IS are deemed to have acknowledged such rights and to have agreed to comply with the stipulations and obligations below and not to do any act inconsistent with such rights.
2. The Indexes are classified into two categories, namely Redistributable Indexes and Non-redistributable Indexes as listed in Schedule 1 of this note, and the terms Redistributable Index Information and Non-redistributable Index Information shall be construed accordingly. Market data licensees shall not use or disseminate the Index Information except as set forth below.

Redistributable Index Information

- 2.1 Market data licensees are permitted to use the Redistributable Index Information received from HKEX-IS (directly or indirectly) for their internal use and to disseminate such information at no charge to their Subscribers or Indirect Connection Licensees (if applicable) for their internal use only and not for further dissemination.

Non-redistributable Index Information

- 2.2 Non-redistributable Index Information is, on the contrary, disseminated to market data licensees solely for their internal use. Market data licensees must not further disseminate all or part of the Non-redistributable Index Information to their Subscribers or Indirect Connection Licensees or

any other persons (whether or not for remuneration) unless market data licensees have obtained prior written approval from or have entered into a license agreement with CSIC or its designated agent. The designated agent of CSIC may change from time to time subject to CSIC's appointment.

3. HKEX-IS and CSIC do not guarantee the accuracy and/or completeness of the Index Information, nor do they give any express or implied warranties with respect to the Index Information.
4. Neither HKEX-IS nor CSIC shall be liable for any damages, loss, costs and expenses caused by any error, omission, negligence or delay in compiling or disseminating the Index Information.
5. CESC Indexes are calculated and/or disseminated by CSIC on behalf of CESC. Neither CESC, HKEX-IS nor CSIC guarantee (whether expressly or impliedly) the accuracy, completeness, timeliness or fitness for a particular purpose of the CESC Indexes and/or any information contained therein; nor do they accept any liability for any damages, loss, costs or expenses suffered by any person arising from the use of the CESC Indexes and/or any information contained therein.
6. The Index Information may be amended from time to time and HKEX-IS may cease providing all or any of the Index Information at any time by giving 30 days' notice or, if required to do so by reasons outside its control or if not practicable to do so, such shorter notice period (including no prior notice) as HKEX-IS may in its absolute discretion determine.

Should you have any queries, please send your questions to MarketData@hkex.com.hk.

Schedule 1

The Indexes are classified into two categories, namely Redistributable Indexes and Non-redistributable Indexes as listed below:

i. CSI Indexes

Redistributable Indexes

1. CSI Hong Kong 100 Index (中証香港 100 指數)
2. CSI China Mainland Consumer Index (中証內地消費指數)
3. CSI Hong Kong Private-owned Mainland Enterprises Index (中証香港內地民營企業指數)
4. CSI Hong Kong State-owned Mainland Enterprises Index (中証香港內地國有企業指數)
5. CSI Hong Kong Listed Tradable Mainland Real Estate Index (中証香港上市可交易內地地產指數)
6. CSI Hong Kong Listed Tradable Mainland Consumption Index (中証香港上市可交易內地消費指數)
7. CSI Hong Kong Dividend Index (中証香港紅利港幣指數)
8. CSI RAFI Hong Kong 50 Index (中証銳聯香港基本面 50 港幣指數)
9. CSI Hong Kong Middle Cap Select Index (中証香港中盤精選港幣指數)
10. CSI Hong Kong Mainland Enterprises 50 Index (中証香港內地股港元 50 指數)

Non-redistributable Indexes

1. CSI 300 Index (滬深 300 指數)

ii. SSE Indexes

Redistributable Indexes

1. SSE 180 Index (上証 180 指數)
2. SSE 380 Index (上証 380 指數)
3. SSE Dividend Index (上証紅利指數)
4. SSE Mid Cap Index (上証中盤指數)
5. SSE 180 Governance Index (上証 180 公司治理指數)
6. SSE Mega-cap Index (上証超級大盤指數)
7. SSE Industry Top index (上証龍頭企業指數)
8. SSE Commodity Equity Index (上証大宗商品股票指數)

Non-redistributable Indexes

1. SSE Composite Index (上証綜合指數)
2. SSE 50 Index (上証 50 指數)

iii. CESC Indexes

Redistributable Indexes

1. CES China 120 Index (中華交易服務中國 120 指數)
2. CES China A80 Index (中華交易服務中國 A80 指數)
3. CES China HK Mainland Index (中華交易服務中國香港內地指數)
4. CES China 280 Index (中華交易服務中國 280 指數)
5. CES Stock Connect 300 Index (中華交易服務滬深港 300 指數)
6. CES Stock Connect Hong Kong Select 100 Index (中華交易服務港股通精選 100 指數)
7. CES Gaming Top 10 Index (CES G10) (中華交易服務博彩業指數)
8. CES Stock Connect Hong Kong Premier 50 Index (中華港股通優選 50 指數)
9. CES HK Biotechnology Index (中華交易服務香港生物科技指數)
10. CES China Semiconductor Chips Index (中華交易服務半導體芯片行業指數) (*previous named as CES China Semiconductor Index 中華交易服務半導體行業指數*)
11. CES CRIC Leading Mainland Property Developer Index (中華交易服務克而瑞內房股領先指數)
12. CES Forecast High Dividend Yield Index (中華交易服務預期高股息指數)

The designated agent of China Securities Index Company Limited is China Investment Information Services Limited.