

S&P Dow Jones Indices Announcement for Additional Upcoming Removals due to Sanctions

NEW YORK, JANUARY 22, 2021: On January 14, 2021, the U.S. Department of Defense published a “Tranche 5” list of “Communist Chinese Military Companies” prepared in response to Section 1237 of the National Defense Authorization Act for Fiscal Year 1999. These “Tranche 5” entities are also “Communist Chinese Military Companies” pursuant to Sec. 4(a) of the Executive Order No. 13959 (Nov. 12, 2020), as amended by Executive Order No. 13974 (Jan. 13, 2021). Executive Order 13959 prohibits U.S. persons from engaging in transactions in publicly traded securities of Communist Chinese Military Companies as well as in derivatives of, or securities designed to provide investment exposure to, such securities. These prohibitions apply with respect to the “Tranche 5” entities effective 60 days from the publication of the “Tranche 5” list.

S&P Dow Jones Indices (“S&P DJI”) has identified the following S&P DJI index component securities as impacted by the “Tranche 5” list:

Equity

- Advanced Micro-Fabrication Equipment Inc – A Share (Ticker: 688012.SS)
- Luokung Technology Corp ADR (Ticker: LKCO.US)
- Xiaomi Corporation – H Share (Ticker: 01810.HK)
- Xiaomi Corporation ADR (Ticker: XIACY.US)

Fixed Income

- China National Aviation Holding Corp Ltd (RIC: CN012002901=RRPS, ISIN: CND10003KTS4)
- China National Aviation Holding Corp Ltd (RIC: CN163069SH=RRPS, ISIN: CND10002XF68)
- China National Aviation Holding Corp Ltd (RIC: CN143827SH=RRPS)
- China National Aviation Holding Corp Ltd (RIC: CN012002980=RRPS, ISIN: CND10003M307)
- Commercial Aircraft Corporation of China Ltd (RIC: CN101653045=RRPS, ISIN: CND10001KLX5)
- Commercial Aircraft Corporation of China Ltd (RIC: CN101653044=RRPS, ISIN: CND10001KLP1)
- Commercial Aircraft Corporation of China Ltd (RIC: CN101555014=RRPS, ISIN: CND10001KDW4)
- Xiaomi Corp (RIC: CN032000316=RRPS, ISIN: CND1000311G9)

S&P DJI hereby announces that it intends to remove the above-referenced securities from its indices, in accordance with the guidelines described in the Sanctions section of [S&P DJI Equity Indices Policies & Practices Methodology](#) and [S&P DJI Fixed Income Indices Policies & Practices Methodology](#).

The effective date for the removal of the above-referenced securities from indices will be announced in due course.

S&P DJI continues to review the implications of the guidance provided by the US Department of the Treasury’s Office of Foreign Assets Control regarding entities impacted by Executive Order 13959. S&P DJI will issue further notices as required.

For more information about S&P Dow Jones Indices, please visit www.spdji.com.

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