

Update on S&P Dow Jones Indices Announcement of Additional Removals due to Sanctions for Equity Indices

NEW YORK, JANUARY 18, 2022: As previously announced, S&P Dow Jones Indices (“S&P DJI”) is continuing to monitor updates regarding Executive Order 13959 of November 12, 2020, *Addressing the Threat From Securities Investments That Finance Communist Chinese Military Companies*, which prohibited transactions by U.S. persons in certain securities issued by so-called Communist Chinese military companies (“CCMCs”).

On June 3, 2021, U.S. President Joe Biden issued Executive Order 14032, which replaced and superseded the substantive provisions of Executive Order 13959. It prohibits transactions by U.S. persons in certain securities of a new category of issuer, so-called Chinese Military-Industrial Complex Companies (“CMICs”).

S&P DJI has reviewed the recent announcement from the U.S. Department of the Treasury’s Office of Foreign Assets Control (OFAC) released on Thursday, December 16, 2021, pursuant to Executive Order (E.O.) 13959, and amended by E.O. 14032 and identified the following index component securities as being impacted by the prohibitions contained therein:

- Leon Technology Co Ltd (300603.SZ, 300603.ZK)
- Netposa Technologies Limited (300367.SZ)
- Xiamen Meiya Pico Information Co., Ltd. (300188.SZ, 300188.ZK)
- Dawning Information Industry Co Ltd (603019.SS, 603019.SH)

The prohibitions of the CMIC Order apply with respect to the above securities beginning at 12:01am EST on February 14, 2022. In accordance with the guidelines described in the Sanctions section of [S&P DJI Equity Indices Policies & Practices Methodology](#), S&P DJI will remove the above-listed securities from those indices using a U.S./U.K./EU investor perspective for sanctions purposes, effective prior to the open on **February 14, 2022.**

Please note, as this notice is to provide guidance on S&P DJI’s future changes as a result of the CMIC Order, clients should not expect to see details of index changes in today’s end-of-day corporate action (*.SDE) files.

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

ABOUT S&P DOW JONES INDICES

S&P Dow Jones Indices is the largest global resource for essential index-based concepts, data and research, and home to iconic financial market indicators, such as the S&P 500[®] and the Dow Jones Industrial Average[®]. More assets are invested in products based on our indices than products based on indices from any other provider in the world. Since Charles Dow invented the first index in 1884, S&P DJI has been innovating and developing indices across the spectrum of asset classes helping to define the way investors measure and trade the markets.

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