

S&P Dow Jones Indices Consultation on the Executive Order Prohibiting U.S. Transactions in Certain Chinese Companies

NEW YORK, NOVEMBER 25, 2020: S&P Dow Jones Indices (“S&P DJI”) is conducting a consultation with members of the investment community on the impact of the Executive Order signed by the President of the United States of America on Thursday, November 12, 2020 regarding a prohibition on U.S. transactions in certain Chinese companies.

The order is intended to take effect at the open of Monday, January 11, 2021 and may impact the ability of market participants to replicate S&P DJI Indices containing securities affected by the order.

S&P DJI is therefore requesting feedback from market participants on the practical impact of the executive order on investors and whether any changes to S&P DJI methodologies, or the removal of affected securities may be required to ensure their ongoing replicability.

QUESTIONS

Please answer the following questions and provide S&P DJI with the reasoning behind your answers:

- 1. Do you expect the Executive Order regarding a prohibition on U.S. transactions in certain Chinese companies to have an impact on your use of S&P DJI products?**
- 2. If the answer to question 1 is “Yes”, would you recommend any changes to index methodologies to address this? What changes would you recommend?**
- 3. If you recommend certain changes to relevant index methodologies, what would be the most appropriate timing to implement such changes?**
- 4. Do you have any other comments or feedback regarding this consultation?**

Your participation in this consultation is important as we gather information from various market participants in order to properly evaluate your views and preferences. Please respond to this survey by **December 4, 2020**. After this date, S&P DJI will no longer accept survey responses. Prior to the Index Committee’s final review, S&P DJI may request clarifications from respondents as part of that review.

To participate in this consultation, please visit the online survey available [here](#).

For further information about this consultation, please contact S&P Dow Jones Indices at index_services@spglobal.com.

Please be advised that all comments from this consultation will be reviewed and considered before a final decision is made; however, S&P DJI makes no guarantees or is under any obligation to comply with any of the responses. The survey may result in no changes or outcome of any kind. If S&P DJI decides to change the index methodology, an announcement will be posted on our website.

Thank you for taking the time to complete this survey.

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

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.

S&P Dow Jones Indices is a division of S&P Global (NYSE: SPGI), which provides essential intelligence for individuals, companies and governments to make decisions with confidence. For more information, visit www.spdji.com.

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CONSULTATION