

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

NEW YORK, MARCH 10, 2021: In an announcement dated March 4, 2021 S&P Dow Jones Indices (“S&P DJI”) stated its intention to remove certain securities from indices effective prior to the open on March 15, 2021.

This announcement was in response to the U.S. Department of Defense January 14, 2021 publication of 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.

The prohibitions of Executive Order No. 13959 apply with respect to the securities of the Tranche 5 entities effective 60 days from the January 14, 2021 publication of the Tranche 5 list – on **March 15, 2021**.

At this time, the US Department of the Treasury -Office of Foreign Assets Control (“OFAC”), which is responsible for implementing Executive Order 13959, has not yet provided any additional information regarding the Tranche 5 list nor has OFAC added any of the companies identified in Tranche 5 to its Non-SDN Communist Chinese Military Company List of companies whose securities are subject to the Executive Order 13959.

As a result, in the absence of further information or guidance from OFAC, S&P DJI hereby confirms that the following securities will be removed from its indices effective prior to the open on **March 15, 2021**, as previously indicated:

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)

Details of index changes resulting from the above will be available in end-of-day corporate action (*SDE) files beginning at tonight's close.

S&P DJI's decision to remove the above-referenced securities from its indices is 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](#).

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

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