



Swiss Index

Complaints Handling Procedure

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1 Definition of Complaints

A complaint refers to any written correspondence received from a client or other stakeholder, about any stage of the benchmark provision (incl. determination and dissemination) process conducted by SIX, covering cases such as:

- treatment of a corporate action;
- calculation errors;
- disputed free float or shares in issue/calculation figures;
- incorrect index review data;
- interpretation or application of the methodology;
- tax treatment including withholding taxes;
- significant delay of the publication of data

or any other observation about the integrity of a benchmark.

The complainant is asked to provide all available evidence and sufficient detail in order to enable a comprehensive investigation by SIX. The complainant may therefore be asked for additional information if such is necessary.

Technical problems like blocked access to the data or system outages are not treated as complaints. Affected clients and stakeholders are asked to contact the SIX index customer support.

2 Submission of Complaints

A complaint must be submitted in writing. The following channels may be used:

Post: SIX
Index Services
P.O. Box 1758
CH-8021 Zurich

Web form:

<https://www.six-group.com/en/products-services/financial-information/indices/benchmark-regulation/complaints-handling-at-six-swiss-indices.html>.

The following information must be provided when filing a complaint:

| | |
|-----------------------|---|
| Complainant | The full name and contact address of the complainant (and the company) |
| Date | |
| Description | A detailed description of the concerns / observations, with their implications, that give rise to the complaint. Please include as much information as available. |
| Benchmark or services | Where does the complaint refer to |
| Enclosure | Any references that may support the complaint handling |



3 Handling of Complaints

SIX is committed to investigate the complaint in a timely manner. The technical and procedural clarification will be done by the respective subject matter experts. The final assessment as well as the submission of the complaint response will be done by persons who are not directly involved in the benchmark provision to guarantee an unbiased treatment of the complainant's concerns.

Timeline

- Within **5 business days** upon receipt of the complaint, the complainants will receive a confirmation, together with a tentative timeline for the complaint treatment
- Within **30 business days** upon receipt of the complaint, the complainant will receive SIX's response, wherever possible.
- If the complexity of the investigation or extraordinary circumstances render the 30 days delay impossible, the complainant will be notified in due time, together with a revised tentative timeline for the complaint treatment.

SIX retains records of all complaints received and responded for a minimum of 5 years.