Sub-Control Area: **Regulatory**

**Question 2c Training Program Overview**

CSI sets up annual employee training plan and carries out the training programs accordingly. It covers the following aspects:

* Policies and procedures;
* Professional skills;
* Corporate culture; and
* Conflicts of interest, etc.

Employees training attendance is recorded by the General Administration Department and used as supporting for employee performance evaluation.

**Question 4 Annual Policy Review**

The Executive Management Group of CSI reviews company level policies and procedures related to index business and the head of the department reviews the department operation manuals (the implementation of the company policies or procedures). Such review or revision is conducted each year. The Index Oversight Committee oversees the progress of review of policies and procedures.

Sub-Control Area: **Compliance**

**Question 2**

The Compliance Officer reviews the compliance of CSI’s business on a quarterly basis. In respect of the company’s index business:

* The Index Oversight Committee (“IOC”) is established under the Executive Management Group, which is responsible for the oversight of all aspects of CSI’s index business. IOC shall review the governance structure and control framework of the index business at least annually.
* The Company appoints an external auditor to review the adherence of its index business activities with the IOSCO Principles.

**Question 3 Overview of the COI Policy**

To identify, disclose, manage, mitigate and avoid any conflict of interest, CSI has established and implemented a series of policies and procedures, according to which, employees and third party suppliers are managed, and members of the Index Advisory Committee and Index Oversight Committee are selected. Indexes are determined by rule-based methodologies. No entity may influence or pay to be included in any index.

**Question 4 ABC Policy review**

The Employee Handbook defines employee code of conduct, including but without limited to anti-bribery and corruption, which is CSI’s internal manual and should not be disclosure.

**Question 6**

The Measures for the Handling of External Inquiries and Complaints Relating to Index Business specifies that CSI’s employees and external stakeholders can report any misconduct to the designated email address. The General Administration Department and the External Inquiry and Compliant Handling Team are responsible for dealing with the internal and external reports respectively.