

## Executive Order 13959 - Proposed Treatment of Newly Sanctioned Names

07 July 2021

Further to the 'Executive Order by the President of the United States of America – FTSE Russell invites comments on EO 13959 FAQ 902' notification published on 09 June 2021, FTSE Russell would like to thank all the index users and stakeholders who provided feedback on the updated Executive Order (EO) 13959 – Non-SDN Chinese Military-Industrial Complex Companies (NS-CMIC List) and Frequently Asked Questions 902 (FAQ 902).

After consideration of the responses, FTSE Russell will proceed with deleting the index constituents from FTSE Russell indices that under FAQ 902 may continue to hold NS-CMIC listed names on the basis that index users commented that they could not guarantee the absence of U.S. beneficial owners investing in funds tracking those indices in violation of EO 13959.

Following an evaluation of the NS-CMIC List the securities listed in the table below were identified as index constituents of FTSE Russell indices that fall within the scope of the updated EO 13959 and will consequently be deleted from the FTSE GEIS, the FTSE Global China A Inclusion indices and associated indices effective from the open on Wednesday 28 July 2021.

Company name	Country	Sedol	Local Code	FTSE Global Equity Index Series	FTSE Global China A Inclusion Index
Aerospace CH UAV (A)	China	B52RWN0	002389	-	Small
Aerospace CH UAV (A) (Stock Connect)	China	BD5LZ25	002389	Small	-
Aerosun (A)	China	6355890	600501	-	Small
Avic Aircraft (A)	China	6004017	000768	-	Large
Avic Aircraft (A) (Stock Connect)	China	BD5CPB7	000768	Large	-
Avic Aviation High-Technology (A)	China	6628439	600862	-	Mid
Avic Aviation High-Technology (A) (Stock Connect)	China	BYYFJL2	600862	Mid	-
Avic Heavy Machinery (A)	China	6397609	600765	-	Mid
Avic Heavy Machinery (A) (Stock Connect)	China	BP3R9Q1	600765	Mid	-
AVIC Jonhon OptronicTechnology (A)	China	B28T7X4	002179	-	Large
AVIC Jonhon OptronicTechnology	China	BD5CHR7	002179	Large	-

(A) (Stock Connect)						
AVIC Shenyang Aircraft (A)	China	6800709	600760	-	Large	
AVIC Shenyang Aircraft (A) (Stock Connect)	China	BF2DZ39	600760	Large	-	
Changsha Jingjia Microelectronics (A)	China	BYNSFF8	300474	-	Mid	
Changsha Jingjia Microelectronics (A) (Stock Connect)	China	BD76153	300474	Mid	-	
China Aerospace Times Electronics (A)	China	6981789	600879	-	Mid	
China Aerospace Times Electronics (A) (Stock Connect)	China	BP3R8W0	600879	Mid	-	
China Avionics Systems (A)	China	6371896	600372	-	Mid	
China Avionics Systems (A) (Stock Connect)	China	BP3R3Y7	600372	Mid	-	
China Satellite Communications (A)	China	BK942H3	601698	-	Large	
China Satellite Communications (A) (Stock Connect)	China	BK4XS55	601698	Large	-	
China Shipbuilding Industry (A)	China	B4X9DB3	601989	-	Large	
China Shipbuilding Industry (A) (Stock Connect)	China	BP3R2R3	601989	Large	-	
China Shipbuilding Industry Group Power (A)	China	B01WHX6	600482	-	Mid	
CSSC Offshore & Marine Engineering (Group) (A)	China	6393243	600685	-	Mid	
CSSC Offshore & Marine Engineering (Group) (A) (Stock Connect)	China	BP3R1T8	600685	Mid	-	
CSSC Offshore & Marine Engineering (Group) (H)	China	6393317	0317	Mid	Mid	
Fujian Torch Electron Technology (A)	China	BV86W11	603678	-	Small	
Fujian Torch Electron Technology (A) (Stock Connect)	China	BMTCXF6	603678	Small	-	
Guizhou Space Appliance (A)	China	B01Z1V1	002025	-	Small	
Guizhou Space Appliance (A) (Stock Connect)	China	BD5C7T9	002025	Small	-	
Inner Mongolia First Machinery Group (A)	China	B0148Q2	600967	-	Mid	
Inner Mongolia First Machinery Group (A) (Stock Connect)	China	BP3RB43	600967	Mid	-	
Jiangxi Hongdu Aviation Industry (A)	China	6304375	600316	-	Mid	
North Navigation Control Technology (A)	China	6649946	600435	-	Mid	

Zhonghang Electronic Measuring Instruments (A)	China	B4XVC89	300114	-	Small
Zhonghang Electronic Measuring Instruments (A) (Stock Connect)	China	BMTCVY1	300114	Small	-

### Custom Indexes Treatment

The above list of sanctioned index constituents will also be deleted from custom FTSE Russell indices that are derived from FTSE GEIS. Clients of FTSE Russell custom indices should contact [info@ftserussell.com](mailto:info@ftserussell.com) or their Relationship Manager by 09 July 2021 if alternative treatment is required.

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