

## Policies for Nikkei Indexes Complaints Procedures

January 31, 2019

Nikkei Inc.

### 1 Purpose

The purpose of this document is to set the policies and procedures for the complaints submitted regarding the Nikkei Indexes as stipulated in Clause 8 "Consultation with Stakeholders" of "General Policies for Nikkei Indexes Administration" published by Nikkei Inc. ("Nikkei")

### 2 Definition of Complaint

A "Complaint" in this document is defined as a complaint or request pertaining to the Nikkei Indexes determination process submitted from a company which has a license to use the Nikkei indexes ("User").

### 3 Method of Submission

Nikkei Accepts Complaint from a User by the Contact Form on Nikkei's index website. A User shall provide the following information upon its submission.

- (1) Name of the representative and the company, e-mail address, phone number and other contact information.
- (2) Document to certify that the company submitting a Complaint is a User.
- (3) Index name, details of a Complaint and the evidence which serves as a basis of a Complaint.

### 4 Complaints Procedures

- (1) Nikkei must accept Complaints from a User in good faith and make efforts to promptly inform the User of the reception of Complaints and estimated time to respond.
- (2) Nikkei may delay or refrain from responding under the following circumstances.
  - i. Sufficient information prescribed in 3 above is not provided.

- ii. Contents of the Complaints are seen as inappropriate and deviated from normal social conventions.

## 5 Record Keeping

The records relating to the Complaints will be retained for at least for 5 years.

## 6 Changes

Contents of this policy may be changed from time to time without a prior notice. Changes are made in accordance with the procedures laid down in the Nikkei's internal rules. Changes are published on Nikkei index website promptly.

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