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Enquiry and Complaints Policy of Wiener Börse AG

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The German version of this document is binding.
The English translation serves for information purposes only.



Enquiry and Complaints Policy of Wiener Börse AG

General

These Guidelines serve as guidance for the handling of enquiries and complaints relating to the indices of Wiener Börse AG (“WBAG”). In detail, the complaints may address the following issues:

- Errors in the index calculation or index adjustment
- Index corrections
- Display of data on the website
- Handling of capital measures
- Questions regarding the methodology
- Questions regarding the licensing of indices
- Questions regarding the publication of indices in real time, delayed and/or end-of-day

Principles

- In principle, enquiries and complaints are dealt with as fast as possible, but in any case within a fair and reasonable time period.
- Such handling is performed in accordance with the procedure specified under Section 3 and includes the timely submission of the result to the enquiring party or complainant.
- Generally, WBAG closes enquiries and complaints only after these have been resolved or answered.
- Written enquiries and complaints are stored for a minimum period of at least five years.

Handling of Enquiries and Complaints

Market participants with questions or complaints regarding the indices of WBAG may contact any of the contacts listed below. Complaints are to be sent exclusively by e-mail to the following e-mail addresses:

Index Management

Phone: +43-1-53165-222

e-mail: indices@wienerborse.at

Licensing Department

Phone: +43-1-53165-169 or 198

e-mail: licences@wienerborse.at

Market Data Services

Phone: +43-1-53165-288

e-mail: mds@wienerborse.at (general)

datafeed@wienerborse.at (technical)

support@wienerborse.at (customer support & website)



After an enquiry is received, the staff checks if the communication received is a complaint or if it is a request for information. Should it be a complaint, the Working Committee is to be informed at its next meeting by the relevant department.

Enquiries and complaints are classified into general enquiries, market data enquiries and complaints, questions on index calculation or index methodology, index licensing questions and data vending questions:

■ **General Enquiries**

General enquiries relating to indices are usually answered by the Index Management team of WBAG.

Should new questions arise in the course of answering an enquiry which the index management team cannot answer, the Index Management team forwards such questions to the relevant department and the procedure set out below is followed.

■ **Market Data**

Enquiries and complaints regarding the quality of the data disseminated are usually answered by Market Data Services. These enquiries refer, for example, to problems relating to index dissemination and/or to the display of index data in the index composition files or their display on the websites of WBAG.

If an enquiry or complaint reveals an existing problem that concerns the current index calculation, a message is sent immediately to all market participants via the mail information tool of the Vienna Stock Exchange (“Infoline”).

Enquiries or complaints that may not be answered quickly and efficiently are submitted to the Working Committee as the next escalation step; the Working Committee decides on the further mode of procedure and supervises the further treatment of the problem or enquiry. The Market Data Services team keeps the party who sent the enquiry or complaint updated until a solution has been found.

If no solution is possible, the enquiry or complaint is escalated to the next level which is the Index Committee. The Index Committee discusses the next steps and reaches a decision stating the reasons and sends a response to the party making the enquiry or complaint.

■ **Index Calculation or Index Methodology**

Enquiries and complaints that concern the index calculation or the index methodology of the indices of WBAG are ranked by priority by the Index Management Department after receipt.

Should a response to an enquiry or complaint or the solution to a problem be of relevance for the current index calculation or index methodology, then the Index Management staff will send a corresponding message to all market participants.

Should a complaint refer to a subject in which an Index Management staff member was involved, this staff member does not deal with the response or solution to the problem.



Depending on the content, the enquiry or complaint is answered immediately by the Index Management staff, or in more difficult cases, it is escalated to the next higher level, namely to the Working Committee.

The Working Committee instructs the competent staff to deal with the enquiry or problem and supervises proper implementation until it is resolved.

If a complainant is not satisfied with the response to a complaint, the Working Committee may decide to let the Index Committee deal with it. After consultation and discussion, the Index Committee reaches a decision giving the relevant reasons and informs the complainant.

Enquiries or complaints that do not have an immediate effect on the index calculation or the index methodology but require more discussion may - upon assessment by the Working Committee - be presented to the Index Committee for discussion in one of its next meetings. The Index Management team may also conduct surveys regarding market participants who are not represented in the Index Committee in order to achieve a broader consensus.

■ **Index Licenses**

Enquiries or complaints regarding licensing or the use of indices of WBAG are answered by the staff of the Licensing Department.

If an enquiry is not answered to the satisfaction of the enquiring party or complainant, it may be escalated to the competent Head of Department. The Head of Department will send an answer stating reasons to the party who sent the enquiry or complaint.