



## Index Methodology Guide

### EQM Tactile AR/VR Virtual Technology Index

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Produced by:

EQM Indexes LLC  
10755 Scripps Poway Parkway, #398  
San Diego, CA 92131

[www.eqmindexes.com](http://www.eqmindexes.com)

## Contents

### Introduction

#### 1 Index specifications

- 1.1 Short name and ISIN
- 1.2 Initial value
- 1.3 Distribution
- 1.4 Prices and calculation frequency
- 1.5 Weighting
- 1.6 Decision-making bodies
- 1.7 Publication
- 1.8 Historical data
- 1.9 Licensing

#### 2 Composition of the Index

- 2.1 Selection of the index components
- 2.2 Ordinary adjustment
- 2.3 Extraordinary adjustment

#### 3 Calculation of the Index

- 3.1 Index formula
- 3.2 Accuracy
- 3.3 Adjustments
- 3.4 Dividends and other distributions
- 3.5 Corporate actions
- 3.6 Calculation of the Index in the event of a market disruption

#### 4 Definitions

- 4.1 Research process
- 4.2 Revenue requirements
- 4.3 Size and liquidity requirements

#### 5 Appendix

- 5.1 Contact data
- 5.2 Calculation of the Index – change in calculation method

This document contains the underlying principles and regulations regarding the structure and the operating of the EQM Tactile AR/VR Virtual Technology Index. Solactive AG shall make every effort to implement regulations. Solactive AG does not offer any explicit or tacit guarantee or assurance, neither pertaining to the results from the use of the Index nor the Index value at any certain point in time nor in any other respect. The Index is merely calculated and published by Solactive AG and it strives to the best of its ability to ensure the correctness of the calculation. There is no obligation for Solactive AG – irrespective of possible obligations to issuers – to advise third parties, including investors and/or financial intermediaries, of any errors in the Index. The publication of the Index by Solactive AG is no recommendation for capital investment and does not contain any assurance or opinion of Solactive AG regarding a possible investment in a financial instrument based on this Index.

## **Introduction**

This document (the “Index Manual”) is to be used as a guideline with regard to the composition, calculation and management of the EQM Tactile AR/VR Virtual Technology Index. Any changes made to the Index Manual are initiated by the Committee specified in Section 1.6. This version of the Index Manual is correct as of the date on the cover of this document. The EQM Tactile AR/VR Virtual Technology Index is calculated and published by Solactive AG. The names Solactive, EQM Indexes, and Tactile Analytics are copyrighted.

## **1 Index specifications**

**The EQM Tactile AR/VR Virtual Technology Index** (the “**Index**”) is an Index of EQM Indexes LLC with research support from Tactile Analytics and is calculated and published by Solactive AG. The Index is designed to measure the performance of companies listed on public stock exchanges globally that are expected to benefit from the increased adoption of augmented reality and virtual reality (AR/VR) technologies. Companies included in the index can be found along the entire AR/VR supply chain. This includes, but is not limited to, companies that manufacture electronic components used to construct AR/VR hardware, companies that develop the software that utilize the hardware, companies that develop content for use on AR/VR hardware, and companies that manage content distribution platforms or deploy AR/VR hardware/software as part of a customer solution or offering as defined further in section 4.

The Index is a total return index. The Index is calculated and published in USD.

### **1.1 Short name and ISIN**

The EQM Tactile AR/VR Virtual Technology Index (ARVRIDX) is published in Bloomberg under the code ARVRIDX and by Reuters under the code .ARVRIDX.

### **1.2 Initial value**

The Index is based on 0 as at the close of trading on the 2/29/16 (February 29, 2016).

### **1.3 Distribution**

The Index is published via the price marketing services of Boerse Stuttgart AG and is distributed to all affiliated vendors. Each vendor decides on an individual basis as to whether he will distribute/dispaly the Index via his information systems.

## 1.4 Levels and calculation frequency

The level of the Index is calculated on each Business Day based on the prices on the respective Exchanges on which the Index Components are listed. For each update, the most recent prices of all Index Components are used. Prices of Index Components not listed in the Index Currency are converted using spot foreign exchange rates quoted by Reuters. The daily index closing value is calculated using Reuters/WMCO closing spot rates from 4pm London time. Should there be no current price available on Reuters, the most recent price or the Trading Price on Reuters for the preceding Trading Day is used in the calculation.

The Index is calculated continuously every Business Day from 1:00am to 10:50pm, CET, with updates every 15 seconds. In the event that data cannot be provided to Reuters or to the pricing services of Boerse Stuttgart AG the Index cannot be distributed.

Any incorrect calculation is adjusted on a retrospective basis. Please note that at the time of the calculation and publication of the Index, the prices used for the calculation may already have changed.

## 1.5 Weighting

On each Adjustment Day each Index Component of the EQM Tactile AR/VR Virtual Technology Index (ARVRIDX) is equally weighted.

## 1.6 Decision-making bodies

A Committee assembled by EQM Indexes is responsible for decisions regarding the composition of the Index as well as any amendments to the rules (in this Index Manual referred to as the "**Committee**" or the "**Index Committee**"). The future composition of the Index is set by the Committee on the Selection Days by choosing from the Selection Pool. The Committee shall also decide about the future composition of the Index in the event that any Extraordinary Events occurs or any necessary adjustments are implemented by the Index Calculator.

Members of the Committee can recommend at any time changes to the composition of the Index or to the Index Manual and submit them to the Committee for approval.

The Committee shall make all decisions and any amendments to the Index or Index Manual on a reasonably commercial basis.

## 1.7 Publication

All specifications and information relevant for calculating the Index are made available on the <http://www.solactive.com> web page and on <http://www.eqmindexes.com>.

## **1.8 Historical data**

Historical data will be provided based on the backtested methodology run from 2.29.16 to 5.31.2018.

## **1.9 Licensing**

Licenses to use the Index as the underlying value for derivative instruments are issued to stock exchanges, banks, financial services providers and investment houses by Eve Capital LLC.

## **2 Composition of the Index**

### **2.1 Selection of the Index Components**

The initial composition of the Index is based on the following rules:

On the Selection Days, EQM Indexes provides the Selection Pool. From the Selection Pool the index calculator selects companies engaged in the AR/VR business segments which fulfil the quantitative requirements defined in section 4.

### **2.2 Ordinary adjustment**

The composition of the Index is ordinarily adjusted four times per a year at the close of trading on the second Tuesday in June, September, December, and March. If this happens to be no Business Day the adjustment is conducted on the preceding Business Day.

The composition of the EQM Tactile AR/VR Virtual Technology Index (ARVRIDX) is reviewed (see 2.1) on the Selection Day and the appropriate decision made is announced.

The first adjustment will be made on September 11, 2018 based on the Trading Prices of the Index Components on the Adjustment Day.

Solactive AG shall publish any changes made to the Index composition on the Selection Day and consequently with sufficient notice before the AdjustmentDay.

### **2.3 Extraordinary adjustment**

If a company included in the EQM Tactile AR/VR Virtual Technology Index is removed from the Index between two Adjustment Days due to an Extraordinary Event, if necessary, the Committee shall designate a successor. The EQM Tactile AR/VR Virtual Technology Index is adjusted on the same day. This is announced by Solactive AG after the close of business on the day on which the new composition of the Index was determined by the Committee.

In the event of an IPO or in case of a listing change from an over-the-counter exchange to a regulated stock exchange of a company, which has a high importance for the EQM Tactile AR/VR Virtual Technology Index, the index committee can decide to include these companies on an extraordinary adjustment event. The company has to fulfil all quantitative requirements as outlined in chapter 4 in this document to be eligible for inclusion. The inclusion will be published on the index calculator's webpage. The Index will be reweighted according to section 1.5 at this occasion.

### **3 Calculation of the Index**

#### **3.1 Index formula**

The EQM Tactile AR/VR Virtual Technology Index is an index whose value on a Business Day is equivalent to the sum overall Index Components of the products of (a) the Number of Shares of the Index Component and (b) the price of the Index Component at the respective Exchange.

As a formula:

$$Index_t = \sum_{i=1}^n x_{i,t} * p_{i,t}$$

with:

$x_{i,t}$  = Number of Shares of the Index Component i on Trading Day t

$p_{i,t}$  = Price of Index Component i on Trading Day t in  
Index Currency

#### **3.2 Accuracy**

The value of the Index will be rounded to two decimal places. The Number of Index Shares of the Index Components will be rounded to integers. Trading Prices and foreign exchange rates will be rounded to four decimal places.

#### **3.3 Adjustments**

Indices need to be adjusted for systematic changes in prices once these become effective. This requires the new Number of Index Shares of the affected Index Component to be calculated on an ex-ante basis.

Following the Committee's decision the EQM Tactile AR/VR Virtual Technology Index is adjusted for distributions, capital increases and stock splits.

This procedure ensures that the first ex quote can be properly reflected in the calculation of the Index. This ex- ante procedure assumes the general acceptance of the Index calculation formula as well as open access to the parameter values used. The calculation parameters are provided by the Index Calculator.

### 3.4 Dividends and other distributions

Dividend payments and other distributions are included in the Index. They cause an adjustment of the Number of Shares of the corresponding Index Component. The new Number of Shares is calculated as follows:

$$x_{it} = x_{i,t-1} * \frac{P_{i,t-1}}{P_{i,t-1} - D_{i,t}}$$

with

$x_{i,t}$  = Number of Shares of the Index Component i on Trading Day t

$D_{i,t}$  = Payment on Trading Day t multiplied by the Dividend Correction Factor of the respective country

### 3.5 Corporate actions

#### 3.5.1 Principles

Following the announcement by an issuer of Index Components of the terms and conditions of a corporate action the Index Calculator determines whether such corporate action has a dilutive, concentrative or similar effect on the price of the respective Index Component.

If this should be the case the Index Calculator shall make the necessary adjustments that are deemed appropriate in order to take into account the dilutive, concentrative or similar effect and shall determine the date on which this adjustment shall come into effect.

Amongst other things the Index Calculator can take into account the adjustment made by an Affiliated Exchange as a result of the corporate action with regard to option and futures contracts on the respective share traded on this Affiliated Exchange.

#### 3.5.2 Capital increases

In the case of capital increases (from the company's own resources or through cash contributions) the new Numbers of Shares are calculated as follows:

$$x_{i,t} = x_{i,t-1} * \frac{P_{i,t-1}}{P_{i,t-1} - rB_{i,t-1}} \quad \text{with:} \quad rB_{i,t-1} = \frac{P_{i,t-1} - B - N}{BV + 1}$$

$x_{i,t}$  = Number of Shares of Index Component i on the day of the distribution

$x_{i,t-1}$  = Number of Shares of Index Component i on the day prior to the distribution

$p_{i,t-1}$  = Closing price on the day prior to ex date

$rB_{i,t-1}$  = Calculated value of rights issue

$B$  = Price of rights issue

N = Dividend disadvantage  
BV = Subscription ratio

B=0 if capital is increased from the company's own resources.

The last dividend paid or the announced dividend proposal is applied as the dividend disadvantage.

### 3.5.3 Capital reductions

In the case of capital reductions the new Number of Shares is determined as follows:

$$x_{i,t} = x_{i,t-1} * \frac{1}{H_{i,t}}$$

H<sub>it</sub> = Reduction ratio of the company on day t  
x<sub>i,t</sub> = Number of Shares of the affected Index Component on the day of the distribution  
x<sub>i,t-1</sub> = Number of Shares of the affected Index Component on the day prior to the distribution

### 3.5.4 Share splits and par value conversions

In the case of share splits and par value conversions it is assumed that the prices change in ratio to the number of shares or to the par values. The new Number of Shares is calculated as follows:

$$x_{i,t} = x_{i,t-1} * \frac{N_{i,t-1}}{N_{i,t}}$$

N<sub>i,t-1</sub> = Former par value of security class i (or new number of shares)  
N<sub>i,t</sub> = New par value of security class i (or former number of shares)  
x<sub>i,t</sub> = Number of Shares of the affected Index Component on the day of the distribution  
x<sub>i,t-1</sub> = Number of Shares of the affected Index Component on the day prior to the distribution

## 3.6 Calculation of the Index in the event of a Market Disruption Event

The Index is not calculated in the event of a Market Disruption Event or Force Majeure Event. If the Market Disruption Event or Force Majeure Event continues over a period of eight Trading Days, then the Committee will determine the necessary action (including but not limited to taking into account the market conditions prevailing at this point in time, the last quoted Trading Price for each of the Index Components as well as any other conditions that it deems relevant for calculating the Index value) such that the affected securities resulting from the Market Disruption Event are no longer causing such disruption to occur.

## 4 Definitions

Security selection is based on research performed by Tactile Analytics.

The “**Selection Pool**” in respect of a Selection Day are those companies that fulfill the following conditions:

**4.1** An extensive research process is undertaken with a focus on identifying the industries and business segments that are expected to benefit from the increased adoption of AR/VR technologies. Industries and business segments under consideration include, but are not limited to, components, hardware, software, and content. The industries identified through this research-based approach are subject to change at every quarterly rebalancing.

**4.2** Companies that derive a portion of their company revenues from the virtual reality (VR), augmented reality (AR), or mixed reality (MR) industries/segments or have stated that part of their business is in products and services focused on the above industries/segments are eligible for inclusion in the index.

Companies that have demonstrated these industries/segments to be growth focus areas through internal R&D investments, joint ventures, partnerships and/or acquisitions are eligible for inclusion in the index. In addition, companies with diversified revenue streams that:

- (1) are identified as critical to the AR/VR ecosystem,
- (2) have a distinct business unit focused on AR/VR products and services, and/or
- (3) have a core competency that is expected to also benefit from the increased adoption of AR/VR technologies are eligible for inclusion in the index.

The primary determinant for inclusion in the Index is **meaningful involvement** in the AR/VR industry by a company under consideration. Meaningful involvement is defined in order to capture a spectrum of constituents from small companies that are solely focused on AR/VR to large diversified companies where AR/VR might only be a portion of the business activities they conduct, but they are nevertheless expected to have a significant impact on the industry.

**Meaningful involvement** includes:

- Deriving at least 50% of their revenue from activities relating to the AR/VR supply chain, as defined by EQM Indexes LLC (the “Index Provider”) and Tactile Analytics, including companies involved in infrastructure (hardware), tools and platforms (software), applications and content (AR/VR images) and users of such content (“Virtual Technology Companies”),
- Having stated in regulatory filings, press releases, or corporate presentations that part of its business is directly involved with the AR/VR value chain,
- Demonstrating AR/VR to be a growth focus area through internal R&D investments, joint ventures, partnerships and/or acquisitions,

- Deriving a portion of their revenues from supplying those companies that have direct involvement in the AR/VR value chain,
- Having a core competency that is expected to imminently benefit from increased adoption of AR/VR technologies.

Companies that meet one or more of the above listed criteria are eligible for inclusion in the Index. Ambiguities related to inclusion or exclusion will be resolved by debate amongst the Index Committee members and consultation with knowledgeable third parties if necessary. A majority of the Index Committee members must support including a company in the index in order for it to be eligible for inclusion.

**4.3** The Index is designed to include the most liquid and investable universe of companies listed on developed markets exchanges.

- Companies must trade on a developed market exchange and have a minimum market capitalization of \$100 million.
- Constituents should have a median daily trading volume of at least \$2 million for the six-month period preceding the data analysis date OR a minimum free float equivalent to 10% of shares outstanding.
- The stock must have traded on 90% of the eligible trading days in the last 6 months. In case a security does not have a trading history of 6 months (e.g., IPOs), such a security must have started trading at least 3 months before the start of the data analysis date and should have traded on 90% of the eligible trading days for the past 3 months.
- Securities considered include common stocks, American Depositary Receipts (ADRs) and Global Depositary Receipts (GDRs). In the case that multiple classes exist, ADRs will be preferred for inclusion.

**“Index Component”** is each share currently included in the Index. At any time, the list of Index Components comprising the Index is available from the Index Calculator’s website.

**“Number of Index Shares”** is in respect of an Index Component and on any given Business Day the number of shares included in the Index. It is determined for any Index Component by the Committee on the Adjustment Days in order to comply with section 2.5.

**“Dividend Correction Factor”** is calculated as 1 minus the applicable withholding tax rate and/or other applicable tax rate currently prevalent in the respective country.

In particular an **“Extraordinary Event”** is

- a Merger
- a Takeover bid
- a delisting
- the Nationalization of a company
- Insolvency.

The Trading Price for this Index Component on the day the event came into effect is

the last available market price for this Index Component quoted on the Exchange on the day the event came into effect (or, if a market price is not available for the day the event came into effect, the last available market price quoted on the Exchange on a day specified as appropriate by the Index Calculator), as determined by the Index Calculator, and this price is used as the Trading Price of the particular Index Component until the end of the day on which the composition of the Index is next set.

In the event of the Insolvency of an issuer of an Index Component the Index Component shall remain in the Index until the next Adjustment Day. As long as a market price for the affected Index Component is available on a Business Day, this shall be applied as the Trading Price for this Index Component on the relevant Business Day, as determined in each case by the Index Calculator. If a market price is not available on a Business Day the Trading Price for this Index Component is set to zero. The Committee may also decide to eliminate the respective Index Component at an earlier point in time prior to the next Adjustment Day. The procedure in this case is identical to an elimination due to an Extraordinary Event.

An Index Component is “**delisted**” if the Exchange announces pursuant to the Exchange regulations that the listing of, the trading in or the issuing of public quotes on the Index Component at the Exchange has ceased immediately or will cease at a later date, for whatever reason (provided delisting is not because of a Merger or a Takeover bid), and the Index Component is not immediately listed, traded or quoted again on an exchange, trading or listing system, acceptable to the Index Calculator,

“**Insolvency**” occurs with regard to an Index Component if (A) all shares of the respective issuer must be transferred to a trustee, liquidator, insolvency administrator or a similar public officer as result of a voluntary or compulsory liquidation, insolvency or winding-up proceedings or comparable proceedings affecting the issuer of the Index Components or (B) the holders of the shares of this issuer are legally enjoined from transferring the shares.

A “**Takeover bid**” is a bid to acquire, an exchange offer or any other offer or act of a legal person that results in the related legal person acquiring as part of an exchange or otherwise more than 10% and less than 100% of the voting shares in circulation from the issuer of the Index Component or the right to acquire these shares, as determined by the Index Calculator based on notices submitted to public or self-regulatory authorities or other information considered by the Index Calculator to be relevant.

With regard to an Index Component a “**Merger**” is

- (i) a change in the security class or a conversion of this share class that results in a transfer or an ultimate definite obligation to transfer all the shares in circulation to another legal person,
- (ii) a merger (either by acquisition or through forming a new structure) or a binding obligation on the part of the issuer to exchange shares with another legal person (except in a merger or share exchange under which the issuer of this Index Component is the acquiring or remaining company

- and which does not involve a change in security class or a conversion of all the shares in circulation),
- (iii) a takeover offer, exchange offer, other offer or another act of a legal person for the purposes of acquiring or otherwise obtaining from the issuer 100% of the shares issued that entails a transfer or the irrevocable obligation to transfer all shares (with the exception of shares which are held and controlled by the legal person), or
  - (iv) a merger (either by acquisition or through forming a new structure) or a binding obligation on the part of the issuer of the share or its subsidiaries to exchange shares with another legal person, whereby the issuer of the share is the acquiring or remaining company and it does not involve a change in the class or a conversion of the all shares issued, but the shares in circulation directly prior to such an event (except for shares held and controlled by the legal person) represent in total less than 50% of the shares in circulation directly subsequent to such an event.

The “**Merger Date**” is the date on which a Merger is concluded or the date specified by the Index Calculator if such a date cannot be determined under the law applicable to the Merger.

“**Nationalization**” is a process whereby all shares or the majority of the assets of the issuer of the shares are nationalized or are expropriated or otherwise must be transferred to public bodies, authorities or institutions.

“**Exchange**” is, in respect of the Selection Pool and every Index Component, the respective primary exchange where the Index Component has its primary listing. The Committee may decide to declare a different stock exchange the “Exchange” for trading reasons, even if the company is only listed there via a Stock Substitute.

“**Stock Substitute**” includes in particular American Depository Receipts (ADR) and Global Depository Receipts (GDR).

With regard to an Index component (subject to the provisions given above under “Extraordinary Events”) the “**Trading Price**” in respect of a Trading Day is the closing price on this Trading Day determined in accordance with the Exchange regulations. If the Exchange has no closing price for an Index Component, the Index Calculator shall determine the Trading Price and the time of the quote for the share in question in a manner that appears reasonable to him.

A “**Trading Day**” is in relation to the Index or an Index Component a Trading Day on the Exchange (or a day that would have been such a day if a market disruption had not occurred), excluding days on which trading may be ceased prior to the normal Exchange closing time. The Index Calculator is ultimately responsible as to whether a certain day is a Trading Day with regard to the Index or an Index Component or in any other connection relating to this Index Manual.

A “**Business Day**” is a day on which Stuttgart Stock Exchange is open for trading.

The “**Index Calculator**” is Solactive AG or any other appropriately appointed successor in this function. The “**Index Currency**” is the currency in which the Index is denominated and shall be Euros (“EUR”).

“**Market Capitalization**” is with regard to each of the shares in the Selection Pool on a Selection Day or Adjustment Day the value published by Reuters (or a successor) as the Market Capitalization for this day.

As at the date of this Index Manual, Market Capitalization is defined by Reuters as the value of a company calculated by multiplying the number of shares outstanding of the company by its share price. “**Free Float Market Capitalization**” is with regard to each of the shares in the Selection Pool or in the Index on a Selection

Day or Adjustment Day the Market Capitalization for this day multiplied by the ratio of (A) the number of shares in circulation and (B) the number of shares outstanding of the respective company. If Reuters (or a successor):

(i) does not publish for a Selection Day a Market Capitalization for a share or  
(ii) adopts another method for calculating the Market Capitalization for all shares or only with regard to the share in question or uses different assumptions in calculating the Market Capitalization for all shares or only with regard to the share in question, and in the reasonable assessment of the Index Calculator involves material changes (the Index Calculator makes the decision as to whether such changes are to be deemed “material” by applying factors that in his reasonable assessment appear appropriate to him), the Index Calculator will determine the Market Capitalization in respect of the shares or of a share included in the Selection Pool and the respective Selection Day either from another publicly accessible source specified in good faith or from other sources that in his assessment are reasonable and appropriate in the event that no other publicly quoted suitable prices are available.

“**Adjustment Day**” is the second Wednesday in June and December. If this happens to be no Business Day, the Adjustment Day is the immediately preceding Business Day.

“**Selection Day**” is the Business Day 5 Business Days before the Adjustment Day.

An “**Affiliated Exchange**” is with regard to an Index Component an exchange, a trading or quotation system on which options and futures contracts on the Index Component in question are traded, as specified by the Index Calculator.

A “**Market Disruption Event**” occurs if

1. one of the following events occurs or exists on a Trading Day prior to the opening quotation time for an Index Component:
  - A) trading is suspended or restricted (due to price movements that exceed the limits allowed by the Exchange or an Affiliated Exchange, or for other reasons):
    - 1.1. across the whole Exchange; or
    - 1.2. in options or futures contracts on or with regard to an Index Component or an Index Component that is quoted on an Affiliated Exchange; or
    - 1.3. on an Exchange or in a trading or quotation system (as determined by the Index Calculator) in which an Index Component is listed or quoted; or
  - B) an event that (in the assessment of the Index Calculator) generally disrupts and affects the opportunities of market participants to execute on the Exchange transactions in respect of a share included in the Index or to determine market values for a share included in the Index or to execute on an Affiliated Exchange transaction with regard to options and futures contracts on these shares or to determine market values for such options or futures contracts; or
2. trading on the Exchange or an Affiliated Exchange is ceased prior to the usual closing time (as defined below), unless the early cessation of trading is announced by the Exchange or Affiliated Exchange on this Trading Day at least one hour before
  - (aa) the actual closing time for normal trading on the Exchange or Affiliated Exchange

on the Trading Day in question or, if earlier.

(bb) the closing time (if given) of the Exchange or Affiliated Exchange for the execution of orders at the time the quote is given.

**“Normal exchange closing time”** is the time at which the Exchange or an Affiliated Exchange is normally closed on working days without taking into account after-hours trading or other trading activities carried out outside the normal trading hours; or

3. a general moratorium is imposed on banking transactions in the country in which the Exchange is resident if the above-mentioned events are material in the assessment of the Index Calculator, whereby the Index Calculator makes his decision based on those circumstances that he considers reasonable and appropriate.

**A “Force Majeure Event”** is defined as an event or circumstance (including without limitation, a systems failure, natural or man-made disaster, act of God, armed conflict, act of terrorism, riot or labor disruption or any similar intervening circumstance) that is beyond the reasonable control of the Index Calculator and that the Index Calculator determines affects the Index, any of the Index Components or the methodology on which the Index is based.

## **5 Appendix**

### **5.1 Contact data**

#### **EQM Indexes LLC**

10755 Scripps Poway Parkway #398  
San Diego, CA 92131  
Main Tel.: 858-935-6041  
Fax: 858-461-6576  
[info@eqmindexes.com](mailto:info@eqmindexes.com)

#### **Solactive AG**

Bettinastrasse  
30  
60325 Frankfurt am  
Main Tel.: +49 69  
9760 955 00  
Fax: +49 69 9760 955 25  
[indexing@solactive.com.de](mailto:indexing@solactive.com.de)

### **5.2 Calculation of the Index – change in calculation method**

The application by the Index Calculator of the method described in this document is final and binding. The Index Calculator shall apply the method described above for the composition and calculation of the Index. However, it cannot be excluded that the market environment, supervisory, legal, financial or tax reasons may require changes to be made to this method. The Index Calculator may also make changes to the terms and conditions of the Index and the method applied to calculate the Index, which he deems to be necessary and desirable in order to prevent obvious or demonstrable error or to remedy, correct or supplement incorrect terms and conditions. The Index Calculator is not obliged to provide information on any such modifications or changes. Despite the modifications and changes the Index Calculator will take the appropriate steps to ensure a calculation method is applied that is consistent with the method described above.