

EQM Indexes

IOSCO Principles for Financial Benchmarks - Compliance Statement

Introduction

The Board of the International Organization of Securities Commissions (“**IOSCO**”) published its final report entitled “Principles for Financial Benchmarks” on 17 July 2013 (the “**Final Report**”). The objective of the Final Report is to create an overarching framework of principles for benchmarks used in financial markets. The Final Report sets out nineteen principles (the “**IOSCO Principles**”) which can be viewed as a set of recommended practices to be implemented by administrators of, and submitters to, financial benchmarks. IOSCO has recommended that administrators of benchmarks publicly disclose the extent of their compliance with the IOSCO Principles on an annual basis.

EQM Indexes, LLC (“**EQM Indexes**”) develops and licenses a number of financial indices that it considers to be within the scope of the IOSCO Principles as further described below. This Compliance Statement sets out the extent of EQM Indexes' compliance with the IOSCO Principles in respect of those financial indices.

Index Control Framework

EQM Indexes implements and maintains policies and procedures governing the creation and administration of exchange traded product indexes. These existing policies and procedures include measures to ensure the accuracy and integrity of financial indices administered by EQM Indexes, as well as arrangements to identify and mitigate potential conflicts of interests. Each new EQM Index created is governed by the Index Control Framework in accordance with IOSCO Principles for Governance, Quality, and Accountability.

Scope

EQM Indexes acts as Administrator (within the meaning of the IOSCO Principles) for a number of financial indices that are linked to or referenced by a financial product, which it has identified as “Benchmarks” within the meaning of the IOSCO Principles (each, an “**EQM Index**” and together, the “**EQM Indexes**”).

Illustrative Indices not linked to financial products

EQM Indexes may also provide indices that are used solely for illustrative purposes, which have no financial products linked to them and which are not used as a performance measure for any

financial product. These indices fall outside the IOSCO definition of a Benchmark and are not covered by this Compliance Statement.

Compliance Statement

Subject as set out above, to the best of its ability, as of the date of this Compliance Statement, EQM Indexes has implemented the IOSCO Principles for the all the indexes it administers.

Further Information

Please refer to <https://www.iosco.org/library/pubdocs/pdf/IOSCOPD409.pdf> to access the final report entitled “Principles for Financial Benchmarks” issued by the Board of the Internal Organization of Securities Commission.

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Note: Investors in any product linked to or referencing a EQM Index should refer to the index disclosure in respect of that EQM Index for further information on that index including the methodology for such EQM Index. Investors in any product linked to or referencing a EQM Index should not rely on this document for information in respect of the relevant EQM Index.