



**NYSE[®] Biotechnology Index[™]
(NYBIO, NYBIOT)**

Version 1.0
Valid from
January 11, 2019

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Version History:

Version 1.0 (Effective January 11, 2019)

The methodology document covers the newly-launched NYSE® Biotechnology Index™ (NYBIO, NYBIOT).

1. Index summary

Factsheet	
<i>Full name</i>	NYSE® Biotechnology Index™
<i>Index Type</i>	Price Return: NYBIO Gross Total Return: NYBIOT
<i>Index Description</i>	The NYSE® Biotechnology Index™ is a rules-based, modified float-adjusted market capitalization-weighted equity index that has the objective of measuring the performance of U.S.-listed companies in the biotechnology sector. Index composition and corporate actions, including reconstitution information, can be accessed from ICE Data Services at https://www.theice.com/market-data/indices/equity-indices/products .
<i>Eligible stocks</i>	Common stocks and American Depositary Receipts (ADRs) listed on the following U.S. exchanges: New York Stock Exchange (NYSE), NYSE American, NYSE Arca, NASDAQ Global Select Market, NASDAQ Global Market, NASDAQ Capital Market, Cboe BZX, Cboe BYX, Cboe EDGA, Cboe EDGX, Investors Exchange (IEX)
<i>Number of constituents</i>	Variable
<i>Weighting</i>	Modified Float-Adjusted, Market-Capitalization Weighted
<i>Review of composition</i>	Reference date for quarterly reconstitutions is the close of the last trading day of the month preceding the month of effectiveness.
<i>Effective date of the reconstitution</i>	Effective quarterly in March, June, September, and December after the close of the 3 rd Friday of the month or, if the third Friday does not fall on an Index Business Day, the preceding Index Business Day
<i>Calculation frequency</i>	Price Return & Gross Total Return: Every 15 seconds between 09:30 & 18:00 ET
<i>Base date</i>	December 21, 2018
<i>Base level</i>	1000.00
<i>Inception Date</i>	<i>Historic data available since</i> December 21, 2018
<i>Bloomberg code</i>	NYBIO <INDEX> / NYBIOT <INDEX>
<i>Reuters code</i>	.NYBIO / .NYBIOT
<i>Launch date</i>	January 11, 2019
<i>Website</i>	https://www.theice.com/market-data/indices

2. Governance

Index Sponsor & Administrator

ICE Data Indices, LLC (“IDI”) is the Index Sponsor and the Index Administrator.

IDI is responsible for the day-to-day management of the Index, including retaining primary responsibility for all aspects of the Index determination process, including implementing appropriate governance and oversight, as required under the International Organization of Securities Commission’s Principles for Financial Benchmarks (the IOSCO Principles). The Governance Committee is responsible for helping to ensure IDI’s overall compliance with the IOSCO Principles, by performing the Oversight Function which includes overseeing the Index development, design, issuance and operation of the indices, as well as reviewing the control framework. IDI is also responsible for decisions regarding the interpretation of these rules and the Governance Committee is responsible for reviewing all rule book modifications and, if applicable, any non-rules based Index constituent changes with respect to the Index to ensure that they are made objectively, without bias, and in accordance with applicable law and regulation and IDI’s policies and procedures. Consequently, all IDI and Governance Committee discussions pertaining to such reviews and decisions are confidential until released to the public.

Cases not covered in rules

In cases which are not expressly covered in these rules, operational adjustments will take place along the lines of the aim of the Index. Operational adjustments may also take place if, in the opinion of the Index Administrator, it is desirable to do so to maintain a fair and orderly market in derivatives on this Index and/or this is in the best interests of the investors in products based on the Index and/or the proper functioning of the markets.

Any such modifications described under this section or exercise of Expert Judgment will also be governed by any applicable policies, procedures and Guidelines in place by IDI at such time.

Rule book changes

The Governance Committee reviews all rule book modifications and Index changes to ensure that they are made objectively, without bias and in accordance with applicable law and regulation and IDI’s policies and procedures. These rules may be supplemented, amended in whole or in part, revised or withdrawn at any time in accordance with applicable law and regulation and IDI applicable policies and procedures. Supplements, amendments, revisions and withdrawals may also lead to changes in the way the Index is compiled or calculated or affect the Index in another way.

Limitations of the Index

All the NYSE indices produced by IDI (the “NYSE Indices”) may be subject to potential limitations, such as a decline in the pool of available eligible securities due to advancements in technology,

shifts in demographic spending or the economy, changes in regulation or accounting rules, consolidation in certain sectors or industries, or other factors. Other limitations may include the ability of the Benchmark to operate in illiquid or fragmented markets.

By design, this Index is focused on representing U.S.-listed companies in the biotechnology sector and is therefore expected to be heavily weighted to that one sector. Should the underlying markets transform due to consolidation and technology advancements, the companies included in the Index will adjust and change accordingly.

IDI seeks to manage and mitigate these limitations through the Benchmark design, review and oversight process.

3. Index Description

The NYSE® Biotechnology Index™ is a rules-based, modified float-adjusted market capitalization-weighted equity index that has the objective of measuring the performance of U.S.-listed companies in the biotechnology sector.

The Index undergoes a quarterly reconstitution effective after the close of the third Friday in March, June, September and December or, if the third Friday does not fall on an Index Business Day, the preceding Index Business Day. The reference date for all reconstitutions is the close of the last trading day of the month preceding the month of reconstitution effectiveness. The Index is adjusted for corporate actions that affect constituents, and post-index launch date, implements any non-merger related float-adjusted shares outstanding updates greater than 5% in scheduled weekly share updates. Those weekly share updates are evaluated and announced on the first Index Business Day of each week, and are effective before the open of trading on the first Index Business Day of the following week.

4. Publication

4.1 Daily opening, intraday and closing publication of Index values.

Opening

The first Index level is calculated and published at 09:30 ET, when the U.S. equity markets open for their regular trading session. The calculation of that level utilizes the most updated prices available at that moment from any exchange, including the official primary exchange. In the case of constituents that have a non-traded, halted or suspended status, or have not opened for the current day, the previous day's reference prices (typically primary exchange official closes) or estimated prices (for IPOs, buyouts and swap offers) are used.

Dissemination frequency

The level of the price return and gross total return Indices is published every 15 seconds to the ICE Data Global Index Feed (ICE Data GIF). The calculated Index levels incorporate the latest traded price of each constituent from within the regular trading session, normally 09:30 to 16:00 ET. The Index only holds equities listed and traded in the U.S., and thus, intraday calculations of the Index incorporate trades on a consolidated level, from all exchanges including those not designated as the official primary exchange.

The Indices are calculated on those days specified as Index Business Days. Index Business Days are days on which the U.S. equity markets are open for a full or partial day of trading.

Closing level

The closing level is the last level disseminated on the trading day and uses the official close prices from the primary exchange for each constituent. For constituents that have non-traded, halted or suspended status, or have not opened for the current day, the previous day's reference prices (typically primary exchange official closes) or estimated prices (for IPOs, buyouts and swap offers) are used instead. In the case of exceptional market conditions, the Index Administrator reserves the right to utilize other prices in the calculation of the official closing level, as indicated below in Section 4.2.

Sources of Data

The Consolidated Tape (CTS/UDTF) is the primary market data source for U.S. equity real-time and closing prices. Additional sources of data less commonly used include market data vendors, company announcements, exchange announcements and other official sources.

4.2 Exceptional market conditions and corrections

The Index Administrator retains the right to delay the publication of the opening level of the Index, or suspend the publication of the level of the Index, if it believes that circumstances prevent the proper calculation of the Index.

If Index constituent prices are cancelled, the Index will not be recalculated unless the Index Administrator decides otherwise.

Reasonable efforts are made to ensure the correctness and validity of data used in real-time Index calculations. Where errors have occurred in the determination or calculation of an index closing value, the decision to make a restatement will be assessed on a case by case basis. Such decision will take account of the significance, impact, age and scale of the error.

There is the possibility of an exchange or market-wide event resulting in the normal closing auction, or official closing prices, not being available. In those situations, the Index Administrator will take guidance from the respective exchange(s) and determine an appropriate course of action on an event-by-event basis. Exchange or market-wide events include, but are not limited to, the following:

- Volatility Halts
 - LULD (Limit Up / Limit Down)
 - Market Wide Circuit Breaker
- Technological Problems / Failures
- Natural Disaster or Other BCP-Related Event

4.3 Changes to the Index

Announcement policy

Changes to the Index methodology will be communicated by an Index announcement which will be distributed by IDI via <https://www.theice.com/market-data/indices/equity-indices> and ICE Data Services at <https://www.theice.com/market-data/indices/equity-indices/products>.

As a general rule, the announcement periods that are mentioned below will be applied. However, emergency actions, including urgently required corporate action treatments, often resulting from late notices from the relevant company or exchange, may require the Index Administrator to deviate from the standard timing.

Inclusion of new constituents

The inclusion of new companies in the Index will typically only occur during the quarterly reconstitutions. The inclusion of the new company in the scheduled reconstitutions will be announced after the close of the first Friday of the month, which falls two weeks prior to the effective date (i.e., the third Friday of the month or, if the third Friday does not fall on an Index Business Day, the preceding Index Business Day). For example, for a reconstitution effective for the open on March 18, 2019, the announcement would occur after the close on March 1, 2019.

Corporate actions affecting constituents of the index, such as a spin-off or merger, can lead to the addition of a company to the Index at a time other than at the scheduled reconstitutions. At the very latest, all such additions will be announced at least one trading day before the effective date of the addition.

Removal of Constituents

The removal of constituent companies from the Index will typically only occur during the quarterly reconstitutions, although there could be exceptions based on a specific corporate action affecting a current constituent such as a merger or acquisition. The removal of the company in the scheduled reconstitutions will be announced after the close of the first Friday of the month, which falls two weeks prior to the effective date (i.e., the third Friday of the month or, if the third Friday does not fall on an Index Business Day, the preceding Index Business Day). For example, for a reconstitution effective for the open on March 18, 2019, the announcement would occur after the close on March 1, 2019.

Corporate actions can lead to the removal of a company from the Index at a time other than at the scheduled reconstitutions. At the very latest, all such removals will be announced at least one trading day before the effective date. It should be noted that in the case of mergers and acquisitions, every effort is made to remove the company at some reasonable time ahead of the suspension in trading in the acquired company. There are certain situations and corporate actions that require the removal of a company that has already ceased trading. In those cases, the company will be removed from the Index at its last traded price, or, at the discretion of the Index Administrator, at a derived price that most accurately represents its post-suspension value.

Corporate actions

In case of an event that could affect one or more constituents, the Index Administrator will publish an announcement explaining the treatment of the event in the Index shortly after the firm details have become available and have been confirmed. When possible, the corporate action and resulting treatment within the Index will be announced, even if not all information is known, at least one trading day before the effective date of the action. Once the corporate action has been actioned in the Index, the Index Administrator will confirm the changes and final terms such as Index divisor in a separate announcement.

Rules and Methodology reviews, Consultations

Rules and methodologies are reviewed periodically, in accordance with IDI's policies and procedures, to ensure the Index continues to meet its objective. The Index Administrator shall announce changes in Rules and methodologies, along with their implementation dates, in accordance with its policies and procedures. As it relates to material changes, the Index Administrator will also consult on proposed material changes that affect the index prior to making such changes, in accordance with IDI's consultation policy:

https://www.theice.com/publicdocs/Consultation_Policy.pdf.

Reconstitution: Publication of Results

The new composition of the Index, including the companies to be a part of the Index and their corresponding new Index shares, will be announced at least two weeks before the effective date and can be accessed from ICE Data Services at <https://www.theice.com/market-data/indices/equity-indices/products>.

5. Calculation

5.1 Calculation of the Index

The Index is calculated on a price return and gross total return basis. The current Index level is calculated by dividing the current Index market capitalization by the Index divisor. The Index market capitalization represents the sum of the product of Index constituent shares and prices. The divisor was determined as a function of the initial Index market capitalization and base Index level. The divisor is updated as a result of corporate actions, reconstitutions and any other composition changes.

A full description of the formulae used to calculate Index values can be found in the “NYSE Indices - Guide to Index Mathematics” at <https://www.theice.com/market-data/indices/equity-indices/methodologies>.

6. Index reconstitutions

6.1 Overview

The quarterly reconstitutions of the Index ensure that the selection and weightings of the constituents continues to reflect the market that it tracks. The Index Administrator reserves the right, at any time, to change the number of stocks comprising the Index by adding or deleting one or more stocks, or replacing one or more stocks contained in the Index with one or more substitute stocks of its choice, if in the Index Administrator's judgement, such addition, deletion or substitution is necessary and appropriate to maintain the quality and/or character of the Index. Such Index constituent changes are subject to review and approval by the Governance Committee.

Frequency

The NYSE® Biotechnology Index™ reconstitutions become effective after the close of the third Friday of March, June, September and December or, if the third Friday does not fall on an Index Business Day, the preceding Index Business Day. The reference date for all company-specific data and information utilized in the process, including prices, is the last trading day of the preceding month. The announcement of the reconstitution to the public is made after the close of the first Friday of the month, two weeks before effectiveness.

6.2 Index universe and selection principle

Index Universe

The universe from which Index constituents are selected ("Index Universe") is comprised of all common stocks and American Depositary Receipts (ADRs) that are listed on the following U.S. stock exchanges: New York Stock Exchange (NYSE), NYSE American, NYSE Arca, NASDAQ Global Select Market, NASDAQ Global Market, NASDAQ Capital Market, Cboe BZX, Cboe BYX, Cboe EDGA, Cboe EDGX, Investors Exchange (IEX). This determination is made using publically available information on individual security issuers. Also instrumental in this determination is IDI employees' expertise concerning Index design and development and their knowledge surrounding Index use and stakeholder feedback.

Selection of constituents

At each quarterly reconstitution, constituent securities are selected from the Index Universe based on the following criteria, as calculated on the last trading day of the month preceding the month of effectiveness:

1. Classified under the Biotechnology Industry in the ICE Data Equity Classification Schema
2. Unadjusted market capitalization (including all share classes and unlisted shares) of at least \$200 million
3. Average daily trading volume over previous 3 months of at least 100,000 shares
4. Seasoning period of 6 months of active trading (applying to IPOs and new listings)

Ineligible security types include shares of Limited Partnerships (LPs), Master Limited Partnerships (MLPs), Limited Liability Partnerships (LLPs), Limited Liability Corporations (LLCs), Business Development Companies (BDCs), Closed-End Funds (CEFs), Exchange Traded Products (ETPs), Royalty Trusts, Preferred Stocks, Convertible Preferred Stocks, Unit Investment Trusts (UITs), Equity Warrants, Convertible Bonds, Rights Issues, Equity Investment Instruments and Non-Equity Investment Instruments.

At each quarterly reconstitution, the existing constituents in the Index that meet the above criteria will have their float-adjusted shares outstanding updated. Any additional securities that meet the index criteria will be included in the index, including IPOs and new listings that have qualified for inclusion based on the seasoning rules.

If a company has multiple listed share classes that qualify, then they will all be included in the Index at their respective float-adjusted market capitalization weighting. All constituents will have their weightings further modified based on the diversification rules as laid out in Section 6.3 below.

Between the reference date and the effective date, there will be no further updates to the proforma new Index composition, except for necessary changes resulting from corporate activity such as mergers and acquisitions or other substantial events. In those cases, the projected new Index composition will be updated.

6.3 Periodical update of constituent weightings

Determining constituent weightings at Quarterly Reconstitutions

Every quarter after the close of trading on the third Friday of March, June, September and December or, if the third Friday does not fall on an Index Business Day, the preceding Index Business Day, the Index constituent weightings are adjusted to reflect their respective float-adjusted market capitalizations based upon company data and prices as of the last trading day of the month preceding effectiveness.

The weightings of the Index constituents will be further modified based on a 4.5/9/36 diversification rule:

1. Based on its respective float-adjusted market capitalization weighting, any issuer that comprises greater than 9% of the Index will have its weighting reduced to 9% and any excess weight redistributed proportionately across the remaining Index constituents.
2. Based on their respective float-adjusted market capitalization weightings, the combined allocation to issuers with a weighting of 4.5% or greater cannot be greater than 36% of the Index. In order to alleviate this situation, the weights of those issuers will be proportionately reduced until their weights, in aggregate, equal 36% of the Index. The reductions will be redistributed proportionately across the remaining Index constituents subject to the 4.5% and 36% limits.

The newly adjusted constituent weights are the basis for the Index calculation and level effective as of the open of the first trading day following the third Friday of those months. A divisor adjustment is made to ensure continuity of the Index's level.

7. Corporate Actions

7.1 General

There can be situations other than those enumerated in the Index Rules, where the Index constituents and respective weights may need to be adjusted in order to maintain the continuity of the Index level and the composition. Such adjustments will be undertaken, as needed, to ensure that the Index continues to achieve its objective of tracking the performance of U.S.-listed companies in the biotechnology sector.

Adjustments take place in reaction to events that occur with constituents in order to mitigate or eliminate the effect of that event on the Index performance.

Post-Index launch date, any non-merger related float-adjusted shares outstanding updates greater than 5% are implemented in scheduled weekly share updates. Those weekly share updates are evaluated and announced on the first Index Business Day of each week, and are effective before the open of trading on the first Index Business Day of the following week.

7.2 Removal of Constituents

Any constituent that is deleted from the index as a result of a corporate action such as a merger, acquisition, spin-off, delisting or bankruptcy will not immediately be replaced by a new stock, unless it is due to a specific corporate action as outlined in the guide referenced below. Thus, the total number of stocks in the index may fluctuate between reconstitutions.

A full description of standard corporate action events and their handling can be found in the “NYSE Indices - Corporate Action Handling Guide” at <https://www.theice.com/market-data/indices/equity-indices/methodologies>.

8. Disclaimer

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