NYSE® FactSet® Global Robotics and Artificial Intelligence Index™ (NYFSRAI)
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Version History:

Version 1.0 (Effective May 11, 2017)
The methodology document covers the newly-launched NYSE® FactSet® Global Robotics and Artificial Intelligence Index™.
## 1. Index summary

### Factsheet

<table>
<thead>
<tr>
<th><strong>Full Names</strong></th>
<th>NYSE FactSet Global Robotics and Artificial Intelligence Index</th>
</tr>
</thead>
</table>
| **Index Types** | Price Return (USD): NYFSRAI  
Gross Total Return (USD): NYFSRAIT |
| **Index Description** | The NYSE FactSet Global Robotics and Artificial Intelligence Index is a rules-based equity benchmark designed to track the performance of globally listed companies involved in Robotics and Artificial Intelligence. Index compositions and corporate actions, including rebalance information, can be accessed from NYSE Market Data at [https://www.theice.com/market-data/indices/equity-indices/products](https://www.theice.com/market-data/indices/equity-indices/products). |
| **Eligible Stocks** | Common stocks, ADRs, or GDRs of selected companies involved in Robotics and Artificial Intelligence and are listed for trading and electronically quoted on a major stock market that is accessible by foreign investors. |
| **Number of Constituents** | Variable |
| **Weighting** | Equal dollar weighted |
| **Review of Composition** | The index is reconstituted annually after the close of the third Friday in December each year (“Reconstitution Day”). Index constituent weights are rebalanced semi-annually after the close of the third Friday in June and December each year (“Rebalance Day”). If the Reconstitution Day or Rebalance Day is a holiday, it will occur on the next business day. |
| **Effective Date of the Rebalance** | See above |
| **Calculation Frequency** | Price and Total Return: Every 15 seconds between 09:30 & 19:00 ET |
| **Base Date** | December 21, 2012 |
| **Base Level** | 1000.00 |
| **Historic Data Available Since** | December 21, 2012 |
| **Bloomberg Code** | NYFSRAI <INDEX> / NYFSRAIT <INDEX> |
| **Reuters Code** | .NYFSRAI / .NYFSRAIT |
| **Launch Date** | May 11, 2018 |
| **Website** | [https://www.theice.com/market-data/indices](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.

The NYSE FactSet Global Robotics and Artificial Intelligence Index is calculated and maintained by IDI based on a methodology developed by FactSet Research Systems Inc. (“FactSet”)

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 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's and the Governance Committee discussions 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 the Robotics and Artificial Intelligence space and is therefore expected to be heavily weighted towards a few sectors. Should the underlying markets transform due to consolidation and technology transformation, 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 FactSet Global Robotics and Artificial Intelligence Index is an equity benchmark designed to track the performance of globally listed companies involved in Robotics and Artificial Intelligence.

The NYSE FactSet Global Robotics and Artificial Intelligence Index is compiled utilizing a methodology and RBICS (Revere Business Industry Classification System) classifications licensed from FactSet.
4. Publication

4.1 The opening, intraday and closing or daily publication of index values.

Opening

The first index level is calculated and published around 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. 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 (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 indexes are in principle 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. For U.S. equities, intraday calculations of the index would incorporate trades on a consolidated level, from all exchanges including those not designated as the official primary exchange. For international equities, intraday calculations of the index would solely incorporate trades made on the security’s primary exchange.

The index is calculated from 09:30 until 19:00 ET on those days specified as index business days. Index business days will be classified as days on which the U.S. Equity Markets (NYSE, NASDAQ and NYSE American) 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 listing market 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 (primary exchange official closes) or estimated prices (for IPOs, buyouts and swap offers) are used instead. The currency rate that will be utilized in the calculation of the closing level is the current day’s London 4:00 PM WM/Reuters Spot FX rate, or if not available, the prior day’s relevant London 4:00 PM WM/Reuters Spot FX rate. 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. Thomson Reuters and the ICE Data Services Consolidated Feed are the primary market data sources utilized for retrieving real-time and closing prices for international (ex-U.S.) equities and real-time spot currencies, all for use in index calculations. Closing spot currencies utilized for constituent conversion or index level conversion are sourced from WM/Reuters Spot FX fixings, specifically the 4 PM London fixing. 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. Furthermore, the Index Administrator retains the right to 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. If incorrect price or corporate action data affects index daily closing values, they are corrected retroactively as soon as possible and all revisions are communicated out to the public and market data vendors.

There is the possibility of an exchange or market-wide event resulting in the normal closing auction not going off or official closing prices not being available. In those situations, the index will take guidance from the respective exchange(s) and address 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 announced by an index announcement which will be distributed by IDI via [www.theice.com/market-data/indices/equity-indices](http://www.theice.com/market-data/indices/equity-indices) and NYSE Market Data at [www.theice.com/market-data/indices/equity-indices/products](http://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 annual reconstitutions, although there could be exceptions based on a specific corporate action affecting a current constituent. The inclusion of the new company will be announced at least two trading days before the effective date of the actual inclusion. For example, for the reconstitution effective for market open on December 18, 2017, the announcement would occur after the close on December 13, 2017.
Removal of Constituents

Components would be removed from the index as a result of periodic corporate actions as well as the results of the annual reconstitution. All removals will be announced at least one trading day before the effective date of the removal. It should be noted that in the case of mergers and acquisitions, every effort will be made to remove the company at some reasonable time ahead of the suspension in trading in the acquired company. There will be certain situations and corporate actions that would 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 inform the market about the intended treatment of the event in the index shortly after the firm details have become available and have been confirmed. When possible, the corporate action 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 effectuated, the Index Administrator will confirm the changes in a separate announcement.

Rule changes

Going forward, barring exceptional circumstances, the Index Administrator shall announce proposed Rules changes to stakeholders prior to them being implemented. Stakeholders shall also be notified of when the changes shall take effect.

Index Reviews

IDI shall undertake regular reviews of the Index, the methodology and the market which it represents to ensure it continues to meet the index objective, in accordance with IDI’s policies and procedures. Should changes to the Index be required or proposed, this will be communicated to stakeholders in accordance with IDI’s policies and procedures.

Consultations

IDI may from time to time consult with stakeholders on proposed material changes that affect the Index in accordance with IDI’s policies and procedures https://www.theice.com/publicdocs/Consultation_Policy.pdf. Such proposals shall be published to stakeholders and all feedback received will be considered by the Index Administrator. Any resulting changes to the Index will be announced prior to it being implemented.

Reconstitution/Rebalance: 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 trading days before the effective date and can be accessed from NYSE Market Data at www.theice.com/market-data/indices/equity-indices/products.
5. Calculation

5.1 Calculation of the price index

The index is calculated on a Price Return and Gross Total Return basis. The current index level would be calculated by dividing the current modified index market capitalization by the index divisor. The divisor was set on the Index Inception Date to yield a Price Return Index value of 1000.00. The divisor is updated as a result of corporate actions and 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 www.theice.com/market-data/indices/equity-indices/methodologies.
6. Index rebalances

6.1 General aim of rebalances and frequency

General aim of the periodical rebalance

The general aim of the semi-annual rebalance and annual reconstitution of the index is to ensure that the selection and weightings of the constituents continues to reflect as closely as possible the index’s objective of identifying, selecting and tracking the performance of stocks from Robotics and Artificial Intelligence sector. The Index Administrator reserves the right to, at any time, 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 discretion such addition, deletion or substitution is necessary or appropriate to maintain the quality and/or character of the index. Such index constituent changes are reviewed by the Governance Committee to ensure that they are made objectively, without bias and in accordance with applicable law and regulation and IDI’s policies and procedures.

Frequency

Changes to the index constituents may occur during a scheduled rebalance or reconstitution and as a result of the removal of an index constituent.

The index is reconstituted annually after the close of the third Friday in December each year (“Reconstitution Day”). Index constituent weights are rebalanced semi-annual after the close of the third Friday in June and December each year (“Rebalance Day”). If the Reconstitution Day or Rebalance Day is a holiday, it will occur on the next business day.

The data used to reconstitute and rebalance the index is as of the close of business on the second Friday in June, and December (“Selection Day”). Subsequent adjustment to the index composition may be made to account for corporate actions that occur between the Selection Day and the Rebalance or Reconstitution Day.

6.2 Index universe and selection principle

Constituent Selection and Weighting Schema

The following rules are used for the initial constituent selection and ongoing reconstitution.

1. Starting universe: Common stocks, ADRs, or GDRs of companies that are primarily listed for trading and electronically quoted on a major stock market that is accessible by foreign investors in one of the 43 following countries:

<table>
<thead>
<tr>
<th>Eligible Countries</th>
</tr>
</thead>
<tbody>
<tr>
<td>Australia</td>
</tr>
<tr>
<td>Austria</td>
</tr>
<tr>
<td>Belgium</td>
</tr>
<tr>
<td>Brazil</td>
</tr>
<tr>
<td>Canada</td>
</tr>
<tr>
<td>Hungary</td>
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<tr>
<td>Iceland</td>
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<tr>
<td>India</td>
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<tr>
<td>Indonesia</td>
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<tr>
<td>Ireland</td>
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<tr>
<td>Poland</td>
</tr>
<tr>
<td>Portugal</td>
</tr>
<tr>
<td>Singapore</td>
</tr>
<tr>
<td>South Africa</td>
</tr>
<tr>
<td>Republic of Korea (South Korea)</td>
</tr>
</tbody>
</table>
2. Select companies that are classified as focus (deriving 50% or more revenues) to one of 22 following RBICS Level 6 industries, which are considered to be exposed to the Artificial Intelligence & Robotics theme, either because of R&D they are involved in, or the products and services they provide. This list of industries will be evaluated periodically and may change over time as the Robotics and Artificial Intelligence sector evolves.

<table>
<thead>
<tr>
<th>Eligible RBICS Level 6 Industries</th>
</tr>
</thead>
<tbody>
<tr>
<td>Business Intelligence Software</td>
</tr>
<tr>
<td>Communication and Collaboration Content</td>
</tr>
<tr>
<td>Business Intelligence Provider Services</td>
</tr>
<tr>
<td>Diversified Customer Relationship Software</td>
</tr>
<tr>
<td>Media Download and Streaming Digital Content Providers</td>
</tr>
<tr>
<td>Sites</td>
</tr>
<tr>
<td>Mobile Platform Applications Software</td>
</tr>
<tr>
<td>Other Hosting Services</td>
</tr>
<tr>
<td>Other Programmable Logic and ASIC</td>
</tr>
<tr>
<td>Semiconductors</td>
</tr>
<tr>
<td>Other Logic Device Semiconductors</td>
</tr>
<tr>
<td>Video Multimedia Semiconductors</td>
</tr>
<tr>
<td>Web Navigation Sites and Software</td>
</tr>
<tr>
<td>Web Search Sites and Software</td>
</tr>
<tr>
<td>Web Search Sites and Software</td>
</tr>
</tbody>
</table>

3. OR select companies that are market leaders in one of the 22 aforementioned RBICS Level 6 industries in Step 2 above (but are not classified as focus). Market leadership is defined as:

   a. Having a 20% or more market share in one of the 22 aforementioned RBICS Level 6 industries or;

   b. Generating $1 Billion USD or more in absolute annual revenues from one of the 22 aforementioned RBICS Level 6 industries

4. Select companies that have:

   a. Float adjusted market capitalization of $500 Million or greater (USD); existing constituents could remain if float adjusted market capitalization is equal or greater than $400 Million (USD).
b. 3 month Average Daily Trading Value (ADTV) of $2 Million or greater (USD); existing constituents could remain if 3 month ADTV is equal or greater than $1.5 Million (USD)

6.3 Periodical update of weighting

**Determining constituent weightings at Semi-Annual Index Rebalance and Annual Recomposition**

At semi-annual index rebalances, the Index portfolio is adjusted by changing the number of shares of each component stock so that each one again represents an approximately equal dollar amount in the Index. At the semi-annual rebalance, the portfolio is tested for market capitalization and liquidity based on “Index Universe and Selection Principle” section 6.2. The newly adjusted portfolio becomes the basis for the Index’s value effective on the first trading day following the semi-annual adjustments. If necessary, a divisor adjustment is made to ensure continuity of the Index’s value.
7. Corporate Actions

7.1 General

The index may be adjusted in order to maintain the continuity of the index level and the composition. The underlying aim is that the index continues to reflect as closely as possible the index's objective of tracking the performance of globally listed companies involved in Robotics and Artificial Intelligence.

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.

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