

Market Consultation- Solactive Global Innovation Index

19 March 2021

Content of the Market Consultation

Solactive AG has decided to conduct a Market Consultation with regard to changing the Index Methodology of the following Indices (the ‘Affected Indices’):

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| --- | --- | --- |
| **NAME** | **RIC** | **ISIN** |
| Solactive Global Innovation GTR Index | .SOLEDGET | DE000SLA5FJ2 |
| Solactive Global Innovation NTR Index | .SOLEDGEN | DE000SLA5FK0 |
| Solactive Global Innovation PR Index | .SOLEDGE | DE000SLA5FL8 |

Rationale for Market Consultation

The Affected Indices provide exposure to companies that are involved in innovative and disruptive trends across a broad range of industries. The Affected Indices classify the trends in several themes and a company is eligible for inclusion if it derives its assets or revenue from one of these themes. As technological trends constantly evolve, the themes need to be reviewed on continuous basis for the adjustments. Therefore, Solactive AG has proposed the following changes to the Index Methodology of the Affected Indices.

Proposed Changes to the Index Guideline

The following methodology changes are proposed in the following points of the Index Guideline (ordered in accordance with the numbering of the affected sections):

1. **Section 2.1: Index Universe Requirements**

From (old version):

[…]

2. Companies must be classified under any of the following FactSet Revere Business Industry Classification System (“RBICS”) sub-industries:

Communication and Collaboration Content Sites, Web Search Sites and Software, Enterprise Management Software, Blockchain Technology, Cryptocurrency Mining, Cryptocurrency Trading / Exchanges, Hematological Oncology Biopharmaceuticals, Other Oncology Biopharmaceuticals, Biotechnology and Genomics (GMO/Hybrids) Products, Factory Automation Equipment, General Semiconductors, Industrial Machine Parts and Support Equipment, Processor Semiconductors, Specialized Semiconductors, Programmable Logic and ASIC Semiconductors, Household Robotics, Surgical Robotic Systems, Car Manufacturers, Auto Interior Comfort/Safety/Electronics Products, Fuel Cell Equipment and Technology Providers, Heavy-Duty and High-End Batteries Manufacturing, Video Multimedia Semiconductors, General Analog and Mixed Signal Semiconductors, Carrier Edge Network Management Equipment, Customer Premises Network Security Equipment, Colocation and Data Center Services, Government IT Services, Network Security Access Policy Software, Network Security Software, Virtual Reality Design and Engineering Software, Home and Office Virtual Reality Software, Virtual Reality Equipment, Wireless Services, Other Network Software, Network Administration Software, Diversified Technology Hardware, General Communications Equipment and Other Communications Semiconductors.

[…]

To (new version):

[…]

2. Companies must be classified under any of the following FactSet Revere Business Industry Classification System (“RBICS”) sub-industries:

Communication and Collaboration Content Sites, Web Search Sites and Software, Enterprise Management Software, Blockchain Technology, Cryptocurrency Mining, Cryptocurrency Trading / Exchanges, Hematological Oncology Biopharmaceuticals, Other Oncology Biopharmaceuticals, Biotechnology and Genomics (GMO/Hybrids) Products, Factory Automation Equipment, General Semiconductors, Industrial Machine Parts and Support Equipment, Processor Semiconductors, Specialized Semiconductors, Programmable Logic and ASIC Semiconductors, Household Robotics, Surgical Robotic Systems, Car Manufacturers, Auto Interior Comfort/Safety/Electronics Products, Fuel Cell Equipment and Technology Providers, Heavy-Duty and High-End Batteries Manufacturing, Video Multimedia Semiconductors, General Analog and Mixed Signal Semiconductors, Carrier Edge Network Management Equipment, Customer Premises Network Security Equipment, Colocation and Data Center Services, Government IT Services, Network Security Access Policy Software, Network Security Software, Wireless Services, Other Network Software, Network Administration Software, Diversified Technology Hardware, General Communications Equipment and Other Communications Semiconductors, Electronic Payment Processing, Financial and Compliance ERP Software, Commercial Bank and Credit Union Software, Insurance Software, Other Finance Industry Software, Peer-to-Peer Lending Investment Management/Brokerage Software.

[…]

1. **Section: 2.2 Selection of the Index Components**

From (old version):

[…]

|  |  |
| --- | --- |
| Index Category | Industries |
| Blockchain | Blockchain Technology  Cryptocurrency Mining  Cryptocurrency Trading / Exchanges |
| Cloud Computing & Big Data | Enterprise Management Software  Internet Hosting Services  Network Infrastructure Software  Communications Infrastructure Software  Data Storage Infrastructure Software  Diversified IT Infrastructure Software  Data Storage Drives and Peripherals  Information and Disk Storage Systems  Multi-Type Data Storage Hardware Makers  Web Search Sites and Software  General and Mixed-Type Software  Productivity Software  Internet Department Stores |
| Cyber Security | Carrier Edge Network Management Equipment  Customer Premises Network Security Equipment  Colocation and Data Center Services  Government IT Services  Network Security Access Policy Software  Network Security Software |
| Future Cars | Alternative Energy Car Manufacturers  Multi-Type Car Manufacturers  Auto Interior Comfort/Safety/Electronics Products  Fuel Cell Equipment and Technology Providers  Heavy-Duty and High-End Batteries Manufacturing  Video Multimedia Semiconductors  General Analog and Mixed Signal Semiconductors |
| Genomics | Hematological Oncology Biopharmaceuticals  Other Oncology Biopharmaceuticals  Biotechnology and Genomics (GMO/Hybrids) Products  Diversified Bioanalytical Instruments  Analytical and Bioanalytical Services  Bioanalytical Consumables  Genetic Molecular Diagnostic Test Kits |
| Robotics & Automation | Factory Automation Equipment  General Semiconductors  Industrial Machine Parts and Support Equipment  Processor Semiconductors  Specialized Semiconductors  Programmable Logic and ASIC Semiconductors  Household Robotics  Surgical Robotic Systems |
| Video Gaming | Electronic Gaming/Entertainment Electronics Makers  Console Games Software Index Guideline 10  Handheld and Smart Phone Games Software  Online Game Websites and Software  Other Games Software |
| Virtual/Augmented Reality | Virtual Reality Design and Engineering Software  Home and Office Virtual Reality Software  Virtual Reality Equipment |
| 5G | Wireless Services  Other Network Software  Network Security Software  Network Administration Software  Network Security Access Policy Software  Diversified Technology Hardware  General Communications Equipment  Other Communications Semiconductors |

[…]

To (new version):

[…]

|  |  |
| --- | --- |
| Index Category | Industries |
| Fintech | Blockchain Technology  Cryptocurrency Mining  Cryptocurrency Trading / Exchanges  Electronic Payment Processing  Financial and Compliance ERP Software  Commercial Bank and Credit Union Software  Insurance Software  Other Finance Industry Software  Peer-to-Peer Lending  Investment Management/Brokerage Software |
| Cloud Computing & Big Data | Enterprise Management Software  Internet Hosting Services  Network Infrastructure Software  Communications Infrastructure Software  Data Storage Infrastructure Software  Diversified IT Infrastructure Software  Data Storage Drives and Peripherals  Information and Disk Storage Systems  Multi-Type Data Storage Hardware Makers  Web Search Sites and Software  General and Mixed-Type Software  Productivity Software  Internet Department Stores |
| Cyber Security | Carrier Edge Network Management Equipment  Customer Premises Network Security Equipment  Colocation and Data Center Services  Government IT Services  Network Security Access Policy Software  Network Security Software |
| Future Cars | Alternative Energy Car Manufacturers  Multi-Type Car Manufacturers  Auto Interior Comfort/Safety/Electronics Products  Fuel Cell Equipment and Technology Providers  Heavy-Duty and High-End Batteries Manufacturing  Video Multimedia Semiconductors  General Analog and Mixed Signal Semiconductors |
| Genomics | Hematological Oncology Biopharmaceuticals  Other Oncology Biopharmaceuticals  Biotechnology and Genomics (GMO/Hybrids) Products  Diversified Bioanalytical Instruments  Analytical and Bioanalytical Services  Bioanalytical Consumables  Genetic Molecular Diagnostic Test Kits |
| Robotics & Automation | Factory Automation Equipment  General Semiconductors  Industrial Machine Parts and Support Equipment  Processor Semiconductors  Specialized Semiconductors  Programmable Logic and ASIC Semiconductors  Household Robotics  Surgical Robotic Systems |
| Video Gaming | Electronic Gaming/Entertainment Electronics Makers  Console Games Software Index Guideline 10  Handheld and Smart Phone Games Software  Online Game Websites and Software  Other Games Software |
| 5G | Wireless Services  Other Network Software  Network Security Software  Network Administration Software  Network Security Access Policy Software  Diversified Technology Hardware  General Communications Equipment  Other Communications Semiconductors |

[…]

1. **Section: 6 Definitions**

**“Index Category”**

From (old version):

**“INDEX CATEGORY”** is any of the following: Blockchain, Cloud Computing & Big Data, Cyber Security, Future Cars, Genomics, Robotics & Automation, Virtual/Augmented Reality, 5G, Video Gaming

To (new version):

**“INDEX CATEGORY”** is any of the following: Fintech, Cloud Computing & Big Data, Cyber Security, Future Cars, Genomics, Robotics & Automation, 5G, Video Gaming.

Feedback on the Proposed Changes

If you would like to share your thoughts with Solactive, please use this consultation form and provide us with your personal details and those of your organization.

|  |  |
| --- | --- |
| Name |  |
| Function |  |
| Organization |  |
| Email |  |
| Phone |  |
| Confidentiality (Y/N) |  |

Solactive is inviting all stakeholders and interested third parties to evaluate the proposed changes to the Methodology for the Solactive Global Innovation Index and welcomes any feedback on how this may affect and/or improve their use of Solactive indices.

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Consultation Procedure

Stakeholders and third parties who are interested in participating in this Market Consultation, are invited to respond until 02/04/2021(cob).

Subject to feedback received on this Market Consultation, the changes mentioned above are intended to become effective on 08/04/2021.

Please send your feedback via email to [compliance@solactive.com](mailto:compliance@solactive.com), specifying “**Market Consultation- Solactive Global Innovation Index**” as the subject of the email, or

via postal mail to: **Solactive AG**

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Germany

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| Should you have any additional questions regarding the consultative question in particular, please do not hesitate to contact us via above email address. |  |



# Contact

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