



EQM Lithium & Battery Technology Index

BATTIDX

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Introduction

Index Objective

The EQM Lithium & Battery Technology Index is an index that seeks to provide exposure to global companies deriving material revenue associated with the development, production, and use of lithium battery technology including battery technologies, materials, and electric vehicles.

Highlights

The Index is market cap weighted subject to constraints.

Dates

Reference Dates: Same as Weight Date.

Reconstitution Dates: Indexes reconstitute quarterly on the second Wednesday in August, November, February, and May.

Weight Date: Friday prior to the Reconstitution Date.

Rebalance Dates: Indexes rebalance quarterly on the second Wednesday in August, November, February, and May.

Supporting Documents

This methodology is meant to be read in conjunction with supporting documents providing greater detail with respect to the policies, procedures and calculations described herein.

The list of the main supplemental documents for this methodology can be found in the Methodologies and Governance tabs on the [Index Resources](#) page as follows:

Supporting Documents
Index Maintenance Policy
Index Governance
Index Policies
Methodology Policies
Glossary
Index Change and Consultation Policy

Eligibility Criteria and Index Construction

Universe

Companies must fulfill the following criteria:

- Listing on a regulated stock exchange in the form of shares tradable for foreign investors without restrictions.

- Market capitalization of at least 250 million USD.
- Average daily traded value of at least 1 million USD over the last six months.
- Non-US companies will be U.S. exchange traded ADR versions if available, provided their liquidity is comparable to locally traded shares.

(g) Locally traded China shares must be at least 10 billion USD in market capitalization.

Index Construction

Constituent Selection

Companies selected:

- Companies deriving more than 50% of their revenue from the development and production of lithium battery technology and/or battery storage solutions.
- The exploration, production, development, processing, and/or recycling of the materials and metals used in lithium battery chemistries such as Lithium, Cobalt, Nickel, Manganese, Vanadium and/or Graphite that have:
 - 50% revenue or profit derived from the mining activity or metal processing, operations, contracts, and/or projects utilized in lithium battery chemistries, and/or
 - global market share in the top five or at least 10% of global market share of any lithium battery metal utilized in the lithium battery chemistry that represents a primary source of revenue and/or net income for the company.
- Companies deriving more than 90% of their revenue from the development and production of electric vehicles.

Constituent Weightings & Constraints

Constituents are market cap weighted with the following constraints:

Minimum weight of 0.20 and a maximum weight of 7%. Excess weights are redistributed proportionately.

Maximum weight of 20% for automobile and components category and a maximum 25% weight for any non-mineral category. Excess weights are reduced proportionately and redistributed proportionately.

Index Maintenance

Rebalancing and Reconstitution

The Indexes are rebalanced on the “Rebalance Date” and additionally reconstituted on the “Reconstitution Date”. Pricing used in share weights used for reconstitutions are as of the “Weight Date”. Share weights for the rebalanced Indexes are computed as of the “Weight Date”. Changes to the Indexes related to the rebalances are as of the “Rebalance Date”. Additions are only made on reconstitution dates.

Corporate Actions

Please refer to the Index Maintenance Policy document for information on Corporate Action processing.

Index Information

Index history availability, base dates and base values are shown in the table below.

Index	Price Index	Base Date	Base Value	Total Return Index	Base Date	Base Value
EQM Global Online Retail Growth Index	BATTIDXP	05/31/2017	100	BATTIDX	05/31/2017	100

Methodology Updates and Changes¹

Date	Version	Previous	New
May 2024	1.0.0	Version 1.51 dated 04 Nov 2021	Methodology converted to new VettaFi format

Index Calculation

Please refer to the Index Maintenance Policy document for information on index calculations.

Index Governance

The index is governed and managed by a VettaFi Index Committee for the purpose of meeting the goals of the index. For more information, please refer to the Index Governance document.

Index Policies

Please refer to the Index Policies document for information regarding Announcements, Holiday Schedules, Unexpected Exchange Closures, and Recalculation Policy.

Contact Information

For any questions regarding an index, please contact: index.production@vettafi.com

¹ As of May 2024