

### FUND OBJECTIVE

The Global X FinTech ETF (FINX) seeks to provide investment results that correspond generally to the price and yield performance, before fees and expenses, of the Indxx Global FinTech Thematic Index.

For informational purposes only. This document should be used to highlight some of the criteria to be used by index provider when publishing index constituents and is not comprehensive.

**ETF Category:**  
Growth - Disruptive Technology

**As of 11/30/20**

**Index Provider:** INDXX



### KEY FEATURES



High Growth Potential



Unconstrained Approach



ETF Efficiency

## INDXX GLOBAL FINTECH THEMATIC INDEX

### SELECTION

- The index is designed to track the performance of companies listed in developed markets that are offering technology-driven financial services which are disrupting existing business models in the financial services and banking sectors, including by providing and developing:
  - P2P and Marketplace Lending: online platforms for peer-to-peer and marketplace lending that is disrupting the traditional lending sector;
  - Mobile Payments: platforms and services that focus on peer-to-peer mobile payments and POS (Point-of-sale) services;
  - Crowd-Funding: online platforms for sourcing funds from individual members;
  - Blockchain and Alternative Currencies: blockchain technology, utilization of blockchain technology to provide financial services, or other alternative currencies;
  - Personal Finance Software, Automated Wealth Management and Trading: personal finance software, robo-advisor solutions that leverage automation/algorithms, and/or are technology-enabled investment solution providers (excluding traditional fund administrators that provide technology services); and
  - Enterprise Solutions: scalable technology solutions focused on disrupting traditional areas of financial services such as lending, credit scoring and banking.
- Only those companies that derive a significant portion of their revenues from the above industries/segments or have stated their primary business to be in products and services focused on the above industries/segments are considered as 'pure-play' fintech companies.
- Companies that have demonstrated these industries/segments to be a growth focus area through internal R&D investments, joint ventures, partnerships, and/or acquisitions are also eligible for inclusion.

### SELECTION POOL

- Eligible companies must have:
  - Minimum market capitalization of \$300M;
  - Listing in a Developed Market;
  - Average daily turnover greater than or equal to \$2 million over the last 6 months (or since the IPO launch date, in the case of significant IPOs);
  - In case a security does not have a trading history of 6 months, to be considered for inclusion, significant IPOs must have been listed at least 10 calendar days prior to the 'Selection Date', and 3 months for other IPOs;
  - Free float percentage of total shares outstanding of at least 10%.
- Existing constituents are retained in the index if they retain a minimum market capitalization of \$240M and a minimum average daily turnover of \$1.4M (and continue to meet the other requirements).
- An IPO is considered to be a "Significant IPO" if its company level total market capitalization is greater than the company level total market capitalization of at least 50% of the on-going index constituents as of previous 'Reconstitution Selection Day'.

### WEIGHTING SCHEME

- Index components are weighted according to security-level market capitalization with the following constraints applied at each rebalance:
  - Each component is subject to maximum weight of 6% and minimum weight of 0.3%.
  - The aggregate weight of companies with weight above 5% cannot exceed 40% of the index weight. The remaining companies are capped at 4.5%.



## REBALANCING

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- The index follows an annual reconstitution and rebalance schedule. Adjustments are made on the last trading day of June each year.
- The index is also reviewed semi-annually for new IPOs and for corporate actions that may impact a constituent's business operations.

*For more information on the Index, please visit Indxx's website.*

\*For the complete and current index methodology please refer to the index provider's website. This summary document is accurate as of the time of its publication and Global X does not guarantee that it is current at any point thereafter.

The selection of the index constituents and their weighting is made by the index provider at its sole discretion.

***Carefully consider the fund's investment objectives, risks, and charges and expenses. This and other information can be found in the fund's full or summary prospectus, which may be obtained by visiting [globalxetfs.com](http://globalxetfs.com). Please read the prospectus carefully before investing.***

Investing involves risk, including the possible loss of principal. The investable universe of companies in which the Fund may invest may be limited. The Fund invests in securities of companies engaged in Information Technology which can be affected by rapid product obsolescence, and intense industry competition. International investments may involve risk of capital loss from unfavorable fluctuation in currency values, from differences in generally accepted accounting principles or from social, economic or political instability in other nations. The fund is non-diversified.

Shares of ETFs are bought and sold at market price (not NAV) and are not individually redeemed from the Fund. Brokerage commissions will reduce returns. Indices are unmanaged and do not include the effect of fees, expenses or sales charges. One cannot invest directly in an index.

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