ARKK

ARK Innovation UCITS ETF

ARK INVEST

FUND DESCRIPTION

The ARK Innovation UCITS ETF ("ARKK") seeks to invest in companies involved in "disruptive innovation", defined as the introduction of a technologically enabled new product or service that potentially changes the way the world works. These are companies that rely on or benefit from the development of new products or services, technological improvements and advancements in scientific research relating to genomics; automation and manufacturing, transportation, energy, artificial intelligence and materials; the increased use of shared technology, infrastructure and services; and technologies that make financial services more efficient.

WHY INVEST IN ARKK?

Exposure to Innovation: Aims for thematic multi-cap exposure to innovation across sectors. ARK believes the securities held in ARKK present the best risk-reward opportunities from ARK's innovation-based themes.

Growth Potential: Aims to capture long-term growth with low correlation to relative returns to traditional growth strategies and negative correlation to value strategies.

Tool for Diversification: Offers a tool for diversification due to little overlap with traditional indices. It can be a complement to traditional value/growth strategies.

Grounded in Research: Combines top-down and bottom-up research in its portfolio management to identify innovative companies and convergence across markets.

Cost Effective: Provides a lower cost alternative to mutual funds with true active management in an Exchange Traded Fund (ETF) that invests in rapidly moving themes.

FUND DETAILS

As of 30 September, 2026

ETF	**ARK Innovation UCITS ETF**
Type	**Active Equity ETF**
ISIN	**IE000GA3D489**
Fund Size (AUM)	**$324.50m**
TER	**0.75%**
Inception Date	**12 Apr 2024**
SFDR Classification	**Article 8**
Holdings	**43**
Base Currency	**USD**
Income Treatment	**Accumulating**
Exposure	**Global Equities**
Domicile	**Ireland**
UCITS	**Yes**
Issuer	**ARK Invest UCITS ICAV**
Promoter	**ARK Invest International Ltd**
Manager	**IQ EQ Fund Management (Ireland) Limited**
Investment Manager	**ARK Investment Management LLC**
Depositary / Custodian	**Northern Trust Fiduciary Services (Ireland) Limited**
ISA Eligible (UK)	**Yes**
SIPP Eligible (UK)	**Yes**
Reporting Fund Status (UK)	**Yes**
Equity Fund (DE)	**Yes**
Portfolio Manager	**Catherine D. Wood**
Associate Portfolio Managers	**Dan White, Nicholas Grous**

SUSTAINABILITY PROFILE

As of 30 September, 2026

MSCI ESG Rating	**BBB**

In both its "top down" and "bottom up" investment approaches, the Investment Manager evaluates environmental, social and governance ("ESG") considerations.

The "top down" approach explicitly selects for technologies that the Investment Manager anticipates will have high degrees of impact on the UN SDGs. For a company to be eligible for selection, it must be involved in a technology platform that makes a "meaningful" contribution to at least two UN SDGs, as determined by the Investment Manager.

The following ESG considerations are also integrated into the "bottom up" approach:

- Business Involvement Screens (Controversial Weapons, Thermal Coal, Oil & Gas, Gambling, Adult Entertainment, Tobacco, Alcohol)
- Violations of International Norms and Standards
- Controversies
- Poor Governance

The Fund is also supported by the Investment Manager's Engagement and Voting programmes.

INVESTMENT FOCUS

As of 30 September, 2026

Next Gen Cloud	**14.3%**
Multiomic Technologies	**12.8%**
Neural Networks	**11.5%**
Precision Therapies	**10.5%**
Cryptocurrencies Economy Pioneers	**10.1%**
Autonomous Mobility	**9.6%**
Digital Wallets	**7.5%**
Reusable Rockets	**6.2%**
Programmable Biology	**4.8%**
Intelligent Devices	**4.1%**
Smart Contracts	**4.0%**
Advanced Battery Technology	**3.2%**
Specialised Robots	**0.9%**
Humanoid Robots	**0.6%**
Total	**100.1%**

Total may not sum to 100% due to rounding

ARKK

Information as of 30 September, 2026

ARK Innovation UCITS ETF

TRADING INFORMATION

Exchange	Currency	Listing Date	SEDOL	Bloomberg Ticker	RIC
Borsa Italiana	EUR	6 May 2024	BKVDTB1	ARKK IM	ARKK.MI
Deutsche Börse Xetra	EUR	18 April 2024	BKVDT99	ARXK GY	ARXK.DE
CBOE Amsterdam	EUR	19 April 2024	BKVDTP5	ARKKx I2	ARKKx.DXE
London Stock Exchange	USD	19 April 2024	BKVDT66	ARKK LN	ARKK.L
London Stock Exchange	GBP	19 April 2024	BKVDT88	ARCK LN	ARCK.L
SIX Swiss Exchange	CHF	14 August 2024	BPCM0G4	ARKK SE	ARKK.S

PERFORMANCE RETURN



Cumulative	ETF
1 Month	5.20%
3 Months	11.52%
6 Months	39.53%
1 Year	15.51%
Since Inception	106.52%

Past performance is not a reliable indicator of future results and is not guaranteed. The ETF performance is the NAV per share and is net of all fees.

TOP 10 HOLDINGS

TESLA INC	8.7%
SPACE EXPL TECHNOLOGIES CORP	6.1%
TEMPUS AI INC	5.3%
ROBINHOOD MKTS INC	5.2%
TWIST BIOSCIENCE CORP	4.9%
CRISPR THERAPEUTICS AG	4.8%
CIRCLE INTERNET GROUP INC	4.4%
COINBASE GLOBAL INC	4.2%
10X GENOMICS INC	3.9%
NVIDIA CORP	3.4%
	50.9%

TOP 10 COUNTRIES

United States	88.3%
Switzerland	4.8%
Canada	3.5%
Cayman Islands	2.0%
Taiwan	1.3%
Total	99.9%

Total may not sum to 100% due to rounding

REGISTRATIONS

Austria	Ireland	Portugal
Denmark	Italy	Spain
Finland	Luxembourg	Sweden
France	Netherlands	Switzerland
Germany	Norway	United Kingdom

MARKET CAPITALISATION

Mega ($100B+)	43.1%
Large ($10 - $100B)	32.8%
Medium ($2 - $10B)	17.4%
Small ($300M - $2B)	6.6%
Micro ($50 - $300M)	0.0%
Total	99.9%

Total may not sum to 100% due to rounding

RESEARCH TEAM

Our research process is centred on utilising first-principles research on disruptive technologies to inform our stock selection. Our collaboration with industry leaders through our open-source research ecosystem helps us stay on the cutting edge of innovation. Our research team consists of individuals with deep domain expertise who are dedicated to specific technology areas. Stocks are analysed through these technological lenses to inform our investment theses. Innovation Research Team: Brett Winton (Chief Futurist), Dr. Charles Roberts (Chief Investment Strategist), and broad collaboration across the research team.

INVESTMENT TEAM

ARK Investment Management LLC is the investment manager for the ARK Innovation UCITS ETF and is responsible for the day-to-day investment management decisions. The team is highly experienced in all aspects relating to the management of a fund portfolio, including the execution of equities, foreign exchange, and cash management. The firm's investment process begins with top-down research to identify truly disruptive innovation and size the opportunity. This is followed by meticulous bottom-up research and analysis, leading to the selection of portfolio companies. ARK emphasises sizing the opportunity, stock selection, valuation, and risk management, ensuring a dynamic approach to capturing technologically enabled growth whilst navigating market volatility.

RISK FACTORS

- All financial investments involve an element of risk. Therefore, the value of your investment and the income from it will vary and your initial investment amount cannot be guaranteed.
- The Fund is subject to the risks associated with technology-focused companies including the risk of: (1) failure of new technologies and solutions to replace existing ones or to be approved by governments/regulators or to achieve their aim; (2) the failure of individual companies to successfully capitalise on such new technologies and reach profitability; (3) competition, including rapid developments in competitive technologies which may leave a company's products out-of-date; (4) government intervention or excessive regulation; and (5) legal attacks from competitors.
- Other risks: (1) The Fund also invests in small publicly traded companies which may be less mature and more vulnerable to adverse business or economic events and greater share price changes than larger companies, the wider technology sector or stock market. (2) The Fund invests in global equity securities and there is a risk of loss arising from exchange rate fluctuations or exchange control regulations. (3) The ICAV's depositary or other service providers may go bankrupt and fail to return money or property belonging to the Fund. (4) It may not always be possible to buy and sell the Fund's shares on a stock exchange or at prices closely reflecting the Fund's Net Asset Value. (5) There is no capital guarantee or protection on the value of the Fund and investors can lose all the capital invested in the Fund.

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ARK UCITS Funds

The ARK Innovation UCITS ETF is an actively managed fund an investment in which involves significant risk and is subject to the share price volatility of technology-focused companies, the risk of failure of new technologies to replace existing ones or to be approved by governments / regulators or to achieve their aim, the failure of individual companies to successfully capitalise on new technologies and reach profitability, competition, government intervention or excessive regulation, delays to approvals or lack of financial support; and legal attacks from competitors.

The fund(s) referenced above are offered by ARK Invest UCITS ICAV ("**UCITS ICAV**"). The UCITS ICAV is an open-ended Irish collective asset management vehicle which is constituted as an umbrella fund with variable capital and segregated liability between its sub-funds (each, a "**Fund**") and registered in Ireland with registration number C193010 and authorised by the Central Bank of Ireland as a UCITS.

The prospectus (including the fund-specific supplements and other supplements), the KIIDs/KIDs the constitutional document of the funds and the latest annual and semi-annual reports of the funds, the latest Net Asset Values of the funds and details of the underlying investments of the funds (together, the "**Fund Information**") are available at https://europe.ark-funds.com/. Any decision to invest must be based solely on the Fund Information. Investors should read the fund-specific risks in the relevant prospectus, fund-specific supplements and the KIIDs/KIDs. The indicative intra-day net asset values of the funds are available at http://www.solactive.com.

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