LUSA

Rize USA Environmental Impact UCITS ETF

RIZE BY ARK INVEST

FUND DESCRIPTION

The Rize USA Environmental Impact UCITS ETF ("LUSA") seeks to invest in the most innovative and impactful US companies that potentially stand to benefit from developing and applying solutions that address the world's most pressing climatic and environmental challenges. This includes leaders and innovators across clean water, EVs, renewables and hydrogen, energy efficiency, waste and the circular economy and nature-based solutions. LUSA has been designed to address the six environmental objectives set out in the EU Taxonomy for Sustainable Activities.

WHY INVEST IN LUSA?

Favourable Growth Prospects: LUSA is Europe's first US environmental impact ETF, and provides investors with exposure to US companies that are developing innovative and impactful solutions in clean water, EVs, renewables and hydrogen, energy efficiency, waste and the circular economy and nature-based solutions.

Powered by Sustainable Market Strategies®: LUSA is purpose-built in collaboration with Sustainable Market Strategies, an independent ESG intelligence firm based in Montreal, Canada, and leverages their unique insights and proprietary classification system of US companies that are aligned with the environmental objectives set out in the EU Taxonomy for Sustainable Activities.

Unconstrained Approach: LUSA's composition transcends classic sector and size classifications by tracking a US theme.

ETF Efficiency: In a single trade, LUSA delivers access to US companies that are favourably positioned to ride the tailwinds of the environmental impact opportunities theme.

FUND DETAILS

As of 30 September, 2026

ETF	**Rize USA Environmental Impact UCITS ETF**
Type	**Index Equity ETF**
ISIN	**IE000PY7F8J9**
Fund Size (AUM)	**$7.40m**
TER	**0.45%**
Inception Date	**17 Aug 2023**
SFDR Classification	**Article 9**
Holdings	**94**
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**
Replication	**Physical - Full Replication**
Index Ticker	**FXBYLUSA**

SUSTAINABILITY PROFILE

As of 30 September, 2026

MSCI ESG Rating	**A**

Engagement and Voting: The Fund is supported by the engagement and voting programmes of the Rize Future First Policy.

SCREENING CRITERIA

- Adult Entertainment
- Alcohol
- Civilian Firearms
- Controversial Weapons
- Controversies
- Embryonic Stem Cell Research
- Gambling
- Genetic Engineering
- International Norms & Standards Violations
- Military Contracting
- Nuclear Energy
- Nuclear Weapons
- Oil & Gas
- Poor governance
- Thermal & Metallurgical Coal
- Tobacco
- Weapons

INVESTMENT FOCUS

As of 30 September, 2026

Clean Water	**20.8%**
Circular Economy Solutions	**20.4%**
Energy Efficiency Solutions	**18.7%**
Electric Vehicles and Green Transport	**11.3%**
Renewable Energy Equipment Manufacturers	**11.3%**
Pollution Control	**4.5%**
Hydrogen and Alternative Fuels	**4.4%**
Climate Resilience Solutions	**3.6%**
Nature-Based Solutions	**2.2%**
Renewable Energy Generation	**2.2%**
Total	**99.4%**

Total may not sum to 100% due to rounding

LUSA

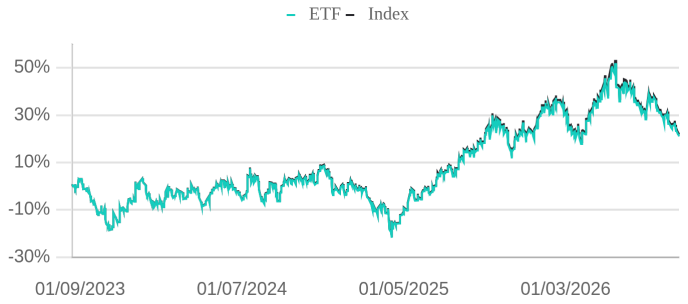
Information as of 30 September, 2026

Rize USA Environmental Impact UCITS ETF

TRADING INFORMATION

Exchange	Currency	Listing Date	SEDOL	Bloomberg Ticker	RIC
Borsa Italiana	EUR	14 June 2024	BS4CNG4	VITU IM	VITU.MI
Deutsche Börse Xetra	EUR	25 August 2023	BLD19S7	RIZJ GY	RIZJ.DE
London Stock Exchange	USD	29 August 2023	BLD1921	LUSA LN	RILUSA.L
London Stock Exchange	GBP	29 August 2023	BLD19Y3	UVNG LN	UVNG.L
SIX Swiss Exchange	CHF	5 March 2024	BLD19R6	LUSA SE	LUSA.S

PERFORMANCE RETURN



Cumulative	ETF	Index	Difference
1 Month	-6.06%	-6.07%	0.01%
3 Months	-15.97%	-15.97%	-0.00%
6 Months	-0.49%	-0.55%	0.06%
1 Year	1.77%	1.85%	-0.08%
Since Inception	21.05%	21.86%	-0.81%

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

TETRA TECH INC NEW	1.6%
WATTS WATER TECHNOLOGIES INC	1.6%
WABTEC	1.5%
VERALTO CORP	1.5%
ECOLAB INC	1.5%
ITRON INC	1.5%
IDEX CORP	1.4%
AMERICAN WTR WKS CO INC NEW	1.4%
WESCO INTL INC	1.4%
CHARGEPOINT HLDGS INC	1.4%
	14.8%

TOP 10 COUNTRIES

United States	97.7%
Canada	1.2%
Israel	0.6%
Total	99.5%

Total may not sum to 100% due to rounding

REGISTRATIONS

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

MARKET CAPITALISATION

Mega ($100B+)	3.5%
Large ($10 - $100B)	37.4%
Medium ($2 - $10B)	38.3%
Small ($300M - $2B)	17.2%
Micro ($50 - $300M)	3.0%
Total	99.4%

Total may not sum to 100% due to rounding

RISK FACTORS

- The Fund may be subject to the risks associated with companies operating in the renewable energy sectors including, but not limited to, fluctuating energy prices which impact upon company revenues, weather fluctuations that impact the ability to generate electricity, the risk that existing regulatory frameworks (the benefits of which might include commitments to pay premium prices, priority access to electricity grids, support for the necessary infrastructure investments and guarantees of purchases of renewable energy output) become less supportive and the cost of producing renewable energy which can be high relative to conventional energy sources / technologies (which pose a risk to the long term economic viability of renewable energy ventures).
- The Fund may also be subject to the risks associated with companies developing new renewable energy technologies and other technologies associated with energy efficiency, electrification of vehicles and other modes of transport, water treatment and purification, waste management and recycling and pollution control, including the risk arising from rapidly changing technologies and obsolescence of existing products; fierce competition from competitors with lower costs; aggressive pricing and reduced profit margins; the loss of patent, copyright and trademark protections; cyclical market patterns; evolving industry standards, evolving regulatory frameworks; and frequent new product introductions.
- Some companies may be smaller and less experienced companies, with limited product lines, markets or financial resources and fewer experienced management or marketing personnel. They may experience extreme price and volume fluctuations that are often unrelated to their operating performance.
- The Index is typically comprised of a mix of micro, small, mid and large capitalisation companies. Micro and small capitalisation companies may be more vulnerable to adverse business or economic events than larger, more established companies and may underperform other segments of the market or the equity market as a whole. Securities of micro and small capitalisation companies generally trade in lower volumes, are less liquid and are often more vulnerable to market volatility and greater and more unpredictable price changes than larger capitalisation stocks or the stock market as a whole.
- Other: (1) Third party service providers (such as the ICAV's depositary) may go bankrupt and fail to pay money due to the Fund or return property belonging to the Fund. (2) If the Index provider stops calculating the Index or if the Fund's license to replicate the Index is terminated, the Fund may have to be closed. (3) It may not always be possible to buy and sell the Fund's Shares on a stock exchange or at prices closely reflecting the Net Asset Value. (4) There is no capital guarantee or protection on the value of the Fund and investors can lose all the capital invested in the Fund. (5) Please refer to the "Risk Factors" section of the ICAV's Prospectus and the Fund Supplement.

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ARK UCITS Funds

The Rize USA Environmental Impact UCITS ETF replicates the Solactive RIZE ETF USA Environmental Impact Index. An investment in the Fund involves significant risk and is subject to the volatility of companies involved in the renewable energy, energy efficiency, electric vehicles, water, waste and recycling sectors and associated technologies.

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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