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 June, 2026

ETF	**ARK Innovation UCITS ETF**
Type	**Active Equity ETF**
ISIN	**IE000GA3D489**
Fund Size (AUM)	**$305.9 Million**
TER	**0.75%**
Inception Date	**12 April 2024**
SFDR Classification	**Article 8**
Holdings	**44**
Base Currency	**USD**
Income Treatment	**Accumulating**
Exposure	**Global Equities**
Domicile	**Ireland**
UCITS	**Yes**
Portfolio Manager	**Catherine D. Wood**
Associate Portfolio Managers	**Dan White, Nicholas Grous**
Issuer	**ARK Invest UCITS ICAV**
Promoter	**ARK Invest International Ltd**
Manager	**IQ EQ Fund Management (Ireland) Ltd**
Investment Manager	**ARK Investment Management LLC**
Depositary / Custodian	**Northern Trust Fiduciary Services (Ireland) Ltd**
ISA Eligible (UK)	**Yes**
SIPP Eligible (UK)	**Yes**
Reporting Fund Status (UK)	**Yes**
Equity Fund (DE)	**Yes**

SUSTAINABILITY PROFILE

As of 30 June, 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 Entertainement, 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.

TECHNOLOGY BREAKDOWN

As of 30 June, 2026

Next Gen Cloud	**14.2%**
Precision Therapies	**13.1%**
Multiomic Technologies	**12.7%**
Autonomous Mobility	**10.7%**
Neural Networks	**10.1%**
Digital Wallets	**8.6%**
Cryptocurrency Pioneers	**8.2%**
Intelligent Devices	**6.3%**
Reusable Rockets	**4.2%**
Programmable Biology	**4.1%**
Advanced Battery Technology	**3.2%**
Smart Contracts	**2.9%**
Specialised Robots	**0.9%**
Humanoid Robots	**0.6%**

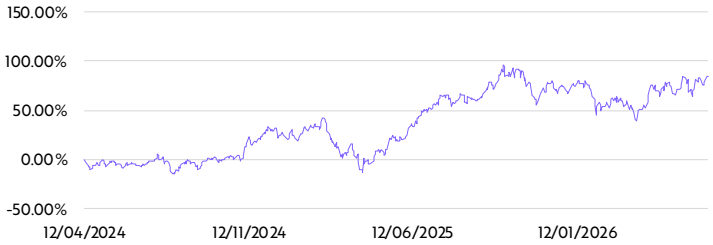
ARKK Information as of 30 June, 2026

ARK INNOVATION UCITS ETF

TRADING INFORMATION

Exchange	Currency	Listing Date	SEDOL	Bloomberg Ticker	RIC
Borsa Italiana	EUR	06 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
Year to date	11.28%
1 month	0.23%
3 months	25.12%
6 months	11.28%
1 year	23.05%
Since Inception	85.18%

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	**8.9%**
Robinhood Mkts Inc	**6.3%**
Advanced Micro Devices Inc	**6.0%**
Crispr Therapeutics Ag	**5.2%**
Tempus Ai Inc	**4.8%**
Space Expl Technologies Corp	**4.5%**
Twist Bioscience Corp	**4.1%**
Beam Therapeutics Inc	**4.0%**
10X Genomics Inc	**3.8%**
Shopify Inc	**3.5%**
	51.1%

TOP 10 COUNTRIES

Total may not sum to 100% due to rounding

United States	**87.4%**
Switzerland	**5.2%**
Canada	**4.3%**
Cayman Islands	**1.5%**
Taiwan	**1.3%**
Hong Kong	**0.1%**
	100.0%

REGISTRATIONS

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

MARKET CAPITALISATION

Mega ($100B+)	**43.4%**
Large ($10 - $100B)	**27.1%**
Medium ($2 - $10B)	**27.5%**
Small ($300M - $2B)	**2.0%**
Micro ($50 - $300M)	**0.0%**

RESEARCH TEAM

Our research process is centered 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 that are dedicated to specific technology areas. Stocks are analysed through these lenses of technology 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 sizing 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: (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.

Marketing Communication / Financial Promotion:

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The ARK Innovation UCITS ETF, ARK Artificial Intelligence & Robotics UCITS ETF, ARK Genomic Revolution UCITS ETF and ARK Space & Defence Innovation UCITS ETF are actively managed funds, 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. **Germany**: This is a financial promotion. The offering of the Shares of the UCITS ICAV has been notified to the German Financial Services Supervisory Authority (BaFin) in accordance with section 310 of the German Investment Code (KAGB). The Fund Information in English (and the KIDs in German language) can be obtained free of charge upon request from the Facilities Agent in Germany, FE fundinfo (Luxembourg) S.à.r.l., by contacting fa_gfr@fefundinfo.com or in paper form at the Facilities Agent's registered office, being 77 Rue du Fossé, 4123 Esch-sur-Alzette, Luxembourg. **Switzerland**: This is an advertising document. The state of the origin of the fund is Ireland. In Switzerland, the Representative in Switzerland is 1741 Fund Solutions AG, Burggraben 16, CH-9000 St. Gallen. The Paying Agent in Switzerland is Tellco Bank AG, Bahnhofstrasse 4, 6430 Schwyz. The Fund Information may be obtained free of charge from the Representative. Past performance is no indication of current or future performance. The performance data do not take account of the commissions and costs incurred on the issue and redemption of units in the Fund. **Austria**: This is a marketing communication and serves exclusively as information for investors. Under no circumstances may it replace advice regarding the acquisition and disposal of investments which may result in a total loss of the investment. The Fund Information in English (and the KIDs in German language) can be obtained free of charge upon request from the Facilities Agent in Austria, FE fundinfo (Luxembourg) S.à.r.l., by contacting fa_gfr@fefundinfo.com. **United Kingdom**: In the United Kingdom this communication is directed exclusively at, and intended only for, investment professionals under Article 19 of the Financial Promotions Order and high net worth companies, unincorporated associations and other persons falling within Article 49 of the Financial Promotions Order. This communication is not intended for retail investors. **United States**: This marketing communication and its contents are not directed at any person that is resident in the United States ("**US person**"), and no offer or invitation is made to any US person to acquire or sell any service, product or security referred to. The provision of any information in this marketing communication does not constitute an offer to US persons to purchase securities.