

NIKKO AM ARK DISRUPTIVE INNOVATION FUND

January 2021 Factsheet

Key Facts

Total Fund Size:	USD 10,155,316,737
Minimum Investment:	USD 1,000 or equivalent in other currencies
Legal Structure:	Sub-fund of Luxembourg SICAV qualifying as a UCITS
Investment Manager:	Nikko Asset Management Americas, Inc.
Investment Adviser	ARK Investment Management LLC.
Management Company:	Nikko Asset Management Luxembourg S.A
Portfolio Managers:	Lawrence Prager & Takeshi Noda (Nikko AM Americas)
Depository:	Brown Brothers Harriman (Luxembourg) S.C.A
Management Fee:	USD Class B & SGD Class B: 1.50% p.a.
Sales Charge:	USD Class B & SGD Class B: Up to 5.0%
Dealing:	Daily
Base Currency:	USD

Investment Objective

The investment objective of the Fund is to achieve long term capital growth. The Fund will invest, under normal market conditions, primarily in global equity securities of companies that are relevant to the investment theme of disruptive innovation - defined as the introduction of a technologically enabled new product or service that potentially changes the way the world works. The Investment Manager believes that companies relevant to this theme are those that rely on or benefit from the development of new products or services, technological improvements and advancements in scientific research relating to:

Genomic Revolution Companies - the study of genes and their functions and related techniques

Industrial Innovation Companies - in energy, automation and manufacturing

Web x.0 Companies - the increased use of shared technology, infrastructure and services

FinTech Innovation Companies - technologies that make financial services more efficient

Performance Returns (%)

		3Mth	6Mth	1Yr	3Yr	SI
Class B USD	NAV-NAV	53.62	73.36	161.93	-	76.69
	NAV-NAV (with charges ¹)	45.94	64.69	148.84	-	72.21
Class B SGD	NAV-NAV	49.35	67.72	154.57	-	90.03
	NAV-NAV (with charges ¹)	41.88	59.34	141.84	-	83.70

Source: Nikko Asset Management Europe Ltd, 31 January 2021

Returns are calculated on a NAV-NAV basis and assuming all dividends and distributions are reinvested, if any. Returns for period in excess of 1 year are annualised. Past performance is not indicative of future performance.

¹ Takes into account of maximum initial sales charge and a realisation charge, currently nil, as and where applicable.

Fund Holdings

Top 10 Holdings	Weight
Tesla Motors, Inc.	8.76%
Roku Inc	6.45%
Crispr Therapeutics Ag	5.32%
Teladoc Health, Inc.	5.13%
Invitae Corp	4.71%
Square, Inc. Class A	4.65%
Proto Labs, Inc.	3.27%
Baidu Inc	2.76%
Spotify Technology Sa	2.70%
Pure Storage Inc	2.66%
Market Cap	Weight
Mega cap: >USD 50b	41.39%
Large cap: USD 10b to USD 50b	21.38%
Mid cap USD: 2b to USD 10b	34.47%
Small cap: <USD 2b	2.42%
Currency	Weight*
US Dollar	97.41%
Japanese Yen	1.21%
Hong Kong Dollar	0.82%
Swiss Franc	0.50%

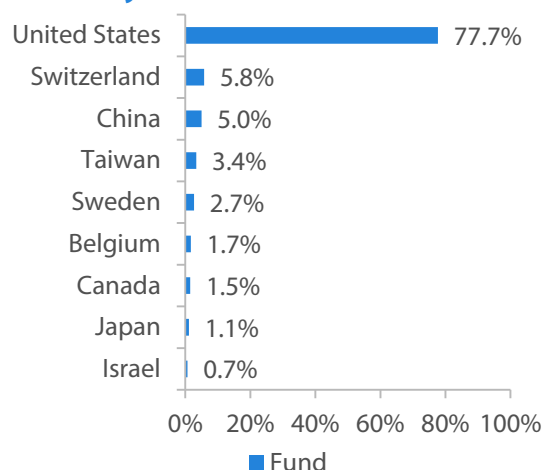
*Amounts of less than 0.1% are not displayed

Portfolio

Fund Composition*	Weight
E-Commerce	10.33%
Cloud Computing	10.16%
Gene Therapy	8.79%
Digital Media	8.53%
3D Printing	7.50%
Mobile	7.43%
Big Data & Machine Learning	7.27%
Molecular Diagnostics	6.37%
Internet of Things	4.97%
Bioinformatics	4.40%
Beyond DNA	3.99%
Autonomous Vehicles	3.57%
Instrumentation	3.25%
Energy Storage	2.87%
Targeted Therapeutics	2.59%
Robotics	1.61%
Social Platforms	1.58%
Blockchain & P2P	1.27%
Next Generation Oncology	1.20%
Space Exploration	1.08%
Development of Infrastructure	0.88%

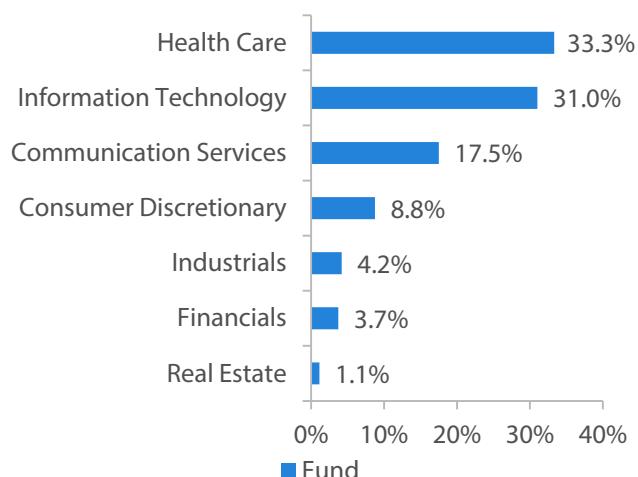
*Elements defined by ARK Invest

Country Allocation



Note: Only positive portfolio value information is displayed.

Sector Allocation



Fund Information

	Inception Date	Nav Per Share	ISIN Code	Bloomberg Ticker
USD Class B	31 January 2019	USD 31.170	LU1861558580	NIKADBU LX
SGD Class B	26 July 2019	SGD 26.450	LU1861559042	NIKADBS LX

Information sources include Bloomberg, Brown Brothers Harriman (Luxembourg) S.C.A., SMBC Nikko Bank (Luxembourg) S.A., Nikko Asset Management Americas, ARK Investment Management LLC. and Nikko Asset Management Co., Ltd. All information as of 31 January 2021.

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