

# FEX

## First Trust US Large Cap Core AlphaDEX® UCITS ETF

Data as at 29 November 2019

### Key Facts

#### Accumulation Share Class

ISIN	IE00B8X9NW27
Inception Date	09/04/13
<b>London Stock Exchange</b>	
Bloomberg Ticker	FEX LN
Sedol	B8XT9Q8
Trading Currency	GBP

#### London Stock Exchange

Bloomberg Ticker	FEXU LN
Sedol	BGQW829
Trading Currency	USD

#### Deutsche Börse Xetra

Bloomberg Ticker	FTGU GY
Sedol	BD5D8R7
Trading Currency	EUR

#### Distribution Share Class

ISIN	IE00BWTNMB87
Inception Date	28/05/15

#### London Stock Exchange

Bloomberg Ticker	FEXD LN
Sedol	BY4K1L1
Trading Currency	GBP

Dividend Frequency	Quarterly
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Last Distribution Per Share	0.11570
Distribution Rate†	0.95%

#### Fund Information

Base Currency	USD
Total Expense Ratio^	0.65%
Rebalancing Frequency	Quarterly
ISA Eligibility	Yes
SIPP Eligibility	Yes
PEA Eligibility	No
UK Reporting Status	Yes
Entry Fees	No
Exit Fees	No
Performance Fees	No

Tracking Index	NASDAQ AlphaDEX® Large Cap Core NTR Index
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Bloomberg Index Ticker	NQDXLCNN
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Index Inception Date	11/01/16
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Index Yield**	1.84%
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Investment Method	Physical
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Index Replication Method	Full Replication
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Benchmark	S&P 500 NTR Index
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UCITS IV Compliant	Yes
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Domicile	Ireland
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Issuing Company	First Trust Global Funds PLC
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Investment Manager	First Trust Advisors L.P.
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Custodian	BNY Ireland
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Administrator	BNY Ireland
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Auditor	Deloitte
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The First Trust US Large Cap Core AlphaDEX® UCITS ETF ("the Fund") is based on the NASDAQ AlphaDEX® Large Cap Core Index (the "Index"). The Index employs the AlphaDEX® stock selection methodology which uses fundamental growth and value factors to objectively select stocks from the NASDAQ US 500 Large Cap Index which may generate positive alpha relative to traditional passive indices. The Index is a modified equal-weighted index where higher ranked stocks receive a higher weight within the Index. The Fund is available in two share classes: accumulating and distributing. Income, earnings and gains of the Fund are reinvested on behalf of shareholders of the accumulating share class. Distributions will be paid out quarterly to shareholders of the distributing share class.

### Performance Summary¹ (%)

Fund History	1 Month	3 Months	YTD	1 Year	3 Years	5 Years	Since Fund Inception
FEX - NAV	3.81	7.24	23.54	11.28	10.76	8.08	10.93
FEXD - NAV	3.80	7.23	23.53	11.28	10.77	N/A	7.93

#### Index History\*

Nasdaq AlphaDEX® Large Cap Core NTR Index	3.84	7.35	24.06	11.74	11.24	N/A	N/A
S&P 500 NTR Index	3.56	7.70	26.93	15.41	14.20	10.30	12.63

\*Index returns for the "Since Fund Inception" period are based on the FEX inception date (09 April 2013).

### 12 Month Performance Periods (%)

Fund History	Q3 2014 - Q3 2015	Q3 2015 - Q3 2016	Q3 2016 - Q3 2017	Q3 2017 - Q3 2018	Q3 2018 - Q3 2019
FEX - NAV	-2.91	12.97	18.48	14.57	-1.35
FEXD - NAV	N/A	12.96	18.47	14.60	-1.35

**Past performance is not a reliable indicator of future results.** Fund Performance is shown after fees including re-invested dividends in the base currency of the fund and does not take into account any currency exposure that may exist against the trading currency of the fund. Returns may fluctuate with currency fluctuations. Returns for periods less than one year are cumulative; all other performance figures are annualized. The NASDAQ AlphaDEX® Large Cap Core Index launched 11 January 2016. Index performance shown from 11 January 2016 shows the actual performance since inception. Actual performance of the Fund may be materially lower than that of the index portfolios.

¹On 8 April 2016, the fund's underlying index changed from the Defined Large Cap Core Index to the NASDAQ AlphaDEX® Large Cap Core Index. Therefore, the fund's performance and historical returns shown for the periods prior to this date are not necessarily indicative of the performance that the fund, based on its current index, would have generated.

The NASDAQ AlphaDEX® Large Cap Core Index (the "Index") is a trademark of Nasdaq, Inc. and has been licensed for use by First Trust Portfolios L.P., and sub-licensed for use by First Trust Global Funds PLC. AlphaDEX® is a trademark owned by First Trust Portfolios L.P. and has been licensed to Nasdaq, Inc. for use in the name of the Index. The First Trust US Large Cap Core AlphaDEX® UCITS ETF is not sponsored, endorsed, sold or promoted by Nasdaq, Inc. and Nasdaq, Inc. makes no representation or warranty regarding the advisability of investing in the First Trust US Large Cap Core AlphaDEX® UCITS ETF or as to the result to be obtained by any person from use of the Index in connection with the trading of the First Trust US Large Cap Core AlphaDEX® UCITS ETF.

"AlphaDEX®" is a registered trademark of First Trust Portfolios L.P. First Trust Portfolios L.P. has obtained a patent for the AlphaDEX® stock selection methodology from the United States Patent and Trademark Office.

The S&P 500 Index is an unmanaged index of 500 stocks used to measure large-cap U.S. stock market performance.

†Distribution rate is a 12-Month Distribution Rate calculated by dividing the sum of the fund's trailing 12-month ordinary distributions paid or declared by the NAV price. Distribution rates may vary.

\*\*Index yield represents the weighted average trailing 12-month dividend of the constituents of the NASDAQ AlphaDEX® Large Cap Core Index.

^The Investment Manager has undertaken to waive 0.10% of its annual management fee of 0.75% until 18 May 2020.

## Fund Information

Number of Holdings	375
Maximum Market Cap.	\$1,187,463
Median Market Cap.	\$23,978
Minimum Market Cap.	\$7,215
Price/Earnings	17.36
Price/Book	2.42
Price/Cash Flow	10.88
Price/Sales	1.55
Market capitalisations, in millions, are expressed in the Fund's base currency.	

## Top 10 Holdings

	%
Regeneron Pharmaceuticals, Inc.	0.56
Biogen Inc.	0.54
DXC Technology Company	0.53
Discovery, Inc.	0.52
Skyworks Solutions, Inc.	0.52
United Rentals, Inc.	0.52
PACCAR Inc	0.49
Burlington Stores, Inc.	0.48
Fox Corporation	0.48
Intel Corporation	0.48

## Sector Allocation

	%
Financials	18.11
Information Technology	14.67
Industrials	12.77
Health Care	10.98
Consumer Discretionary	9.54
Communication Services	6.06
Energy	5.99
Utilities	5.78
Real Estate	5.64
Materials	5.34
Consumer Staples	5.12

Top 10 holdings as a percentage of Total Net Assets. Portfolio Holdings are subject to change at any time. References to specific securities should not be construed as a recommendation to buy or sell and should not be assumed profitable.

## Investment Objective

This exchange-traded fund seeks to provide investors with a total return, taking into account capital and income returns, which reflects the return of an equity index called the NASDAQ AlphaDEX® Large Cap Core Index (the "Index").

## Index Description

- The NASDAQ AlphaDEX® Large Cap Core Index is an "enhanced" index created and administered by Nasdaq, Inc. ("Nasdaq") which employs the AlphaDEX® stock selection methodology to select stocks from the NASDAQ US 500 Large Cap Index that meet certain criteria.
- Nasdaq constructs the NASDAQ AlphaDEX® Large Cap Core Index by ranking the eligible stocks from the NASDAQ US 500 Large Cap Index on growth factors including 3-, 6- and 12- month price appreciation, sales to price and one year sales growth, and separately on value factors including book value to price, cash flow to price and return on assets. All stocks are ranked on the sum of ranks for the growth factors and, separately, all stocks are ranked on the sum of ranks for the value factors. A stock must have data for all growth and/or value factors to receive a rank for that style.
- Each stock receives either its growth or value score as its selection score based on its style designation as determined by Nasdaq.
- The top 375 stocks based on the selection score determined in the previous step comprise the "selected stocks." The selected stocks are divided into quintiles based on their rankings and the top ranked quintiles receive a higher weight within the index. The stocks are equally-weighted within each quintile.
- The index is reconstituted and rebalanced quarterly.

## Risks

- **The Fund's shares may change in value and may go down as well as up. You could lose money by investing in the Fund. You may not get back all of the money you invest.**
- The Fund is subject to Market Risk, which means that shares of the Fund may fall in value due to market fluctuations caused by such factors as economic, political, regulatory or market developments, changes in interest rates and perceived trends in securities prices.
- There may be tracking difference between the Fund and the underlying index due to the impact of the annual Fund management fees. Therefore the Fund's return may not match the return of the NASDAQ AlphaDEX® Large Cap Core Index.
- The Fund's holdings may be issued by companies concentrated in a particular industry or country.
- The Fund may invest in small capitalisation and mid capitalisation companies. Such companies may experience greater price volatility than larger, more established companies.
- As the Fund's investments may be denominated in currencies other than the Fund's currency, an investment in this Fund may expose you to currency risk.
- This Fund's Net Asset Value (NAV) is likely to have high volatility due to the portfolio composition and/or the index replication technique. As such, potential investors should be aware that the Fund's shares may change in value, and may do so in a volatile fashion; potential investors could lose money by investing in the Fund.
- Neither First Trust Global Portfolios Limited ("FTGP") nor any of its affiliates guarantees the performance or the future returns of the Fund.
- There is no guarantee that the Fund will declare dividends.
- For more details relating to risks of investing in the Fund, please refer to the "Risk Factors" section of the Fund's prospectus

## Important Information

This financial promotion is issued by FTGP of 8 Angel Court, London, EC2R7HJ. FTGP is authorised and regulated by the UK Financial Conduct Authority ("FCA") (FRN:583261). The Fund is not regulated by the FCA.

Nothing contained herein constitutes investment, legal, tax or other advice and it is not to be solely relied on in making an investment or other decision, nor does the document implicitly or explicitly recommend or suggest an investment strategy, reach conclusions in relation to an investment strategy for the reader, or provide any opinions as to the present or future value or price of any fund. It is not an invitation, offer, or solicitation to engage in any investment activity, including making an investment in the Fund, nor does the information, recommendations or opinions expressed herein constitute an offer for sale of the Fund.

The Fund is an open-ended sub-fund of the First Trust Global Funds PLC (the "Company"), an umbrella UCITS fund with segregated liability between sub-funds, incorporated with limited liability as an investment company with variable capital under the laws of Ireland with UCITS registered number 514357.

The material in this document is not comprehensive and must therefore be read in conjunction with the Fund's prospectus, which contains material information not contained herein, including the terms of investment and information regarding investment risks and restrictions, fees and expenses and conflicts of interests. Potential investors should pay particular attention to the risk disclosures in the "Risk Factors" section of the Fund's prospectus. No assurance can be given that the Fund's investment objective will be achieved or that the Fund will generate a positive return. Contact FTGP or visit [www.ftglobalportfolios.com](http://www.ftglobalportfolios.com) to obtain a Prospectus and/or Key Investor Information Document (available in English).

Shares of the Fund are not available for sale in any state or jurisdiction in which such sale would be prohibited. The shares of the Fund have not been registered under the US Securities Act of 1933, as amended, and the Fund is not registered under the US Investment Company Act of 1940, as amended. Neither this material nor the Fund's shares are available to or suitable for US persons.

UCITS ETF's units / shares purchased on the secondary market cannot usually be sold directly back to UCITS ETF. Investors must buy and sell units / shares on a secondary market with the assistance of an intermediary (e.g. a stockbroker) and may incur fees for doing so. In addition, investors may pay more than the current net asset value when buying units / shares and may receive less than the current net asset value when selling them.

### **Portfolio Holdings Disclosure Policy:**

The Company's portfolio holdings policy is designed to be transparent, whilst being in the best interest of the Funds and protecting the confidentiality of each Fund's portfolio holdings. The full portfolio holdings for the Fund shall generally be available daily, with a one-day lag, on [www.ftglobalportfolios.com](http://www.ftglobalportfolios.com). Any portfolio holdings information which may otherwise be provided on request shall be provided on a confidential basis.