



# EMERGE ARK GLOBAL DISRUPTIVE INNOVATION ETF

THIS ETF IS A BEST IDEAS APPROACH ACROSS ARK'S THEMES: GENOMICS, E-COMMERCE, ARTIFICIAL INTELLIGENCE, ELECTRIC & AUTONOMOUS VEHICLES, AND ROBOTICS



**Marketing Profile**  
Actively Managed ETF  
As of September 30 2020

CAD Ticker: EARK  
USD Ticker: EARK.U  
CAD Series: 291006104  
USD Series: 291006203

## INVESTMENT OBJECTIVE

EARK is an actively managed ETF that seeks to achieve long-term growth of capital by investing primarily, under normal circumstances, in global equity securities of companies that are, or expected to be, focused on disruptive innovation, being the introduction of technologically enabled new products or services that could potentially change the way the world works.

## FUND DETAILS

TICKER	EARK
TYPE	Active Equity ETF
CUSIP CAD SERIES	291006104
CUSIP USD SERIES	291006203
CURRENCY	CAD/USD
INCEPTION DATE	7.29.2019
PRIMARY EXCHANGE	NEO Stock Exchange
MANAGEMENT FEE	0.80%
TYPICAL NUMBER OF HOLDINGS	35-50
PORTFOLIO MANAGER	Emerge Canada Inc.
SUB-ADVISERS	ARK Investment Management LLC Emerge Capital Management Inc.

## WHY INVEST IN EARK?

### 1 EXPOSURE TO INNOVATION

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

### 2 GROWTH POTENTIAL

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

### 3 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.

### 4 GROUNDED IN RESEARCH

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

### 5 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.

## GEOGRAPHIC ALLOCATION

AMERICA	81.2%
EUROPE	8.6%
ASIA	4.3%
MIDDLE EAST	2.0%

## FUND DESCRIPTION

### THE CORNERSTONE THEMES OF DISRUPTIVE INNOVATION

Securities within EARK are expected to focus on and benefit from, the development of new products or services, technological improvements and advancements in scientific research related to, among other things, disruptive innovation across ARK's themes: Web x.0 (Next Generation Internet), Industrial Innovation, Genomic Revolution, and technologies that make financial services more efficient ("Fintech Innovation").

## SECTOR WEIGHTS

HEALTH CARE	34.8%
INFORMATION TECHNOLOGY	25.3%
CONSUMER DISCRETIONARY	13.5%
COMMUNICATION SERVICES	14.5%
FINANCIALS	4.7%
INDUSTRIALS	3.4%

## TOP 10 HOLDINGS

TESLA INC	10.3%
INVITAE CORP	8.7%
SQUARE INC	6.4%
ROKU INC	5.0%
CRISPR THERAPEUTICS AG	4.7%
PROTO LABS INC	3.4%
2U INC	3.1%
ZILLOW GROUP INC	3.0%
LENDINGTREE INC	2.7%
TELADOC HEALTH INC	2.7%



**CATHERINE D. WOOD**  
Chief Investment Officer

**ARK Investment Management LLC**

Catherine founded ARK Investment Management in 2014. Previously, she completed twelve years at AllianceBernstein as Chief Investment Officer of Global Thematic Strategies with over \$5 billion in assets under management. Before AllianceBernstein, she worked for eighteen years with Jennison Associates as Chief Economist, Equity Research Analyst, Portfolio Manager, and Director. Catherine started her career in Los Angeles at the Capital Group as an Assistant Economist.



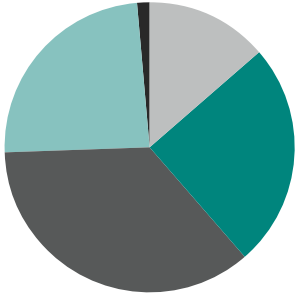
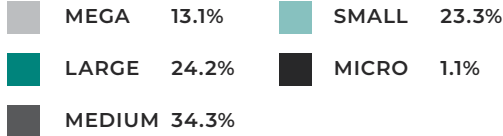
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TORONTO, ON M5E 1S2



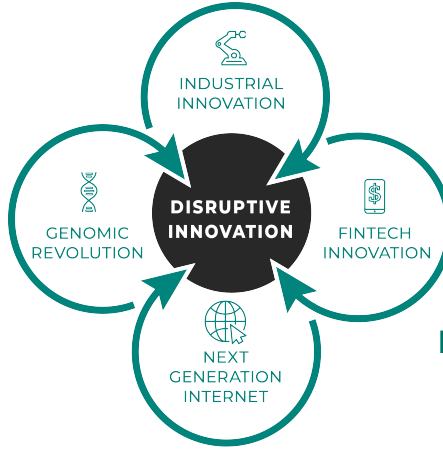
# EMERGE ARK GLOBAL DISRUPTIVE INNOVATION ETF

THIS ETF IS A BEST IDEAS APPROACH ACROSS, OUR SUBADVISOR, ARK INVEST'S INNOVATION THEMES

## MARKET CAPITALIZATION



## FUND DESCRIPTION



INDUSTRIAL INNOVATION

GENOMIC REVOLUTION

FINTECH INNOVATION

NEXT GENERATION INTERNET

## PERFORMANCE AS AT SEPTEMBER 30 2020

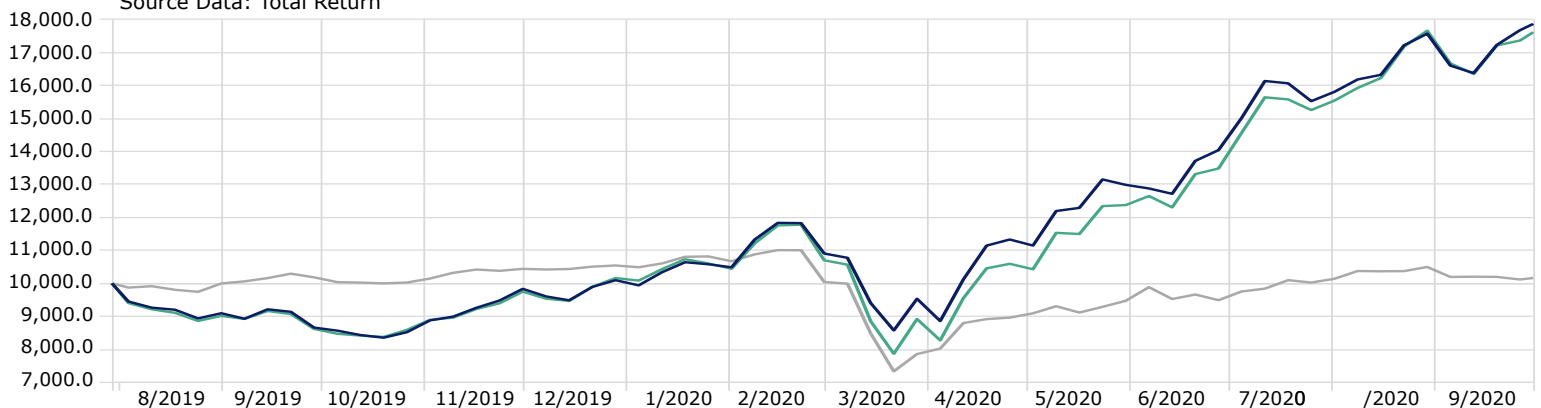
TICKER	NAME	NAV	1 MO.	3 MO.	6 MO.	YTD	1 YR	Since Incep.*
EARK	EMERGE ARK GLOBAL DISRUPTIVE INNOVATION ETF	\$17.70	-0.7%	24.3%	83.9%	79.9%	105.1%	63.9%
EARK.U	EMERGE ARK GLOBAL DISRUPTIVE INNOVATION ETF USD	\$13.25	-3.2%	26.7%	96.0%	74.6%	103.3%	61.9%
.XI.TSX	S&P/TSX COMPOSITE INDEX		-2.1%	4.7%	22.5%	-3.1%	0.0%	1.4%
S&P 500 TR USD	S&P 500 INDEX		-3.8%	8.9%	31.3%	5.6%	15.1%	11.7%

## INVESTMENT GROWTH CHART AT \$10,000:

EMERGE ARK GBL DISRUPT. INV. ETF | TIME PERIOD: 2019.07.29 TO 2020.09.30

EARK	\$17,864.10
EARK.U	\$17,613.30
S&P/TSX COMPOSITE	\$10,162.90

Source Data: Total Return



\*Since Inception Date: July 29 2019

Commissions, management fees, brokerage fees and expenses may be associated with an investment in ETFs. Before investing, you should carefully consider the ETF's investment objectives, strategies, risks, charges and expenses. This and other information are in the ETF's prospectus, which may be obtained by visiting [www.emergecm.ca](http://www.emergecm.ca) or [www.sedar.com](http://www.sedar.com). Please read the ETF prospectus carefully before you invest. An investment in an ETF is subject to risks and you can lose money on your investment. Detailed information regarding the specific risks of the ETF can be found in the prospectus. There can be no assurance that the ETF will achieve its investment objective. The ETF's portfolio is more volatile than broad market averages. Units of the ETF are bought and sold at market price and there can be no guarantee that an active trading market for the ETF units will develop or be maintained, or that their listing will continue or remain unchanged. ETFs are not guaranteed. Their values change frequently. Past performance may not be repeated. The statements contained in this document are based on information believed to be reliable and are provided for information purposes only. Where such information is based in whole or in part on information provided by third parties, we cannot guarantee that is accurate, complete or current at all times. This document does not provide investment, tax or legal advice, and is not an offer or solicitation to buy. Graphs and charts are used for illustrative purposes only and do not reflect future values or returns on investment. Particular investment strategies should be evaluated according to an investor's investment objectives and tolerance for risk. Emerge Canada Inc. and related entities are not liable for any error or omission in the information or for any loss or damage suffered.