NIKKO AM ARK DISRUPTIVE INNOVATION FUND

A sub-fund of Nikko AM Global Umbrella fund, Class A USD

August 2024 Factsheet

Fund Information

Total Fund Size:	USD 2,545,211,508
Currency of Fund:	USD
Category of the Fund:	Equity
Investment Horizon:	5+ Years
SFDR Article Classification:	SFDR Article 6
Benchmark:	MSCI World Total Return Net Index
Legal Structure:	Luxembourg UCITS SICAV
Investment Manager:	Nikko Asset Management Americas, Inc.
Investment Adviser:	ARK Investment Management LLC.
Management Company:	Nikko Asset Management Luxembourg S.A
Portfolio Manager:	Takeshi Noda & Catherine Dine
Depositary:	BNP Paribas, Luxembourg Branch

Share Class Information

Minimum Investment:	USD 1,000,000
Currency of the Share Class:	USD
Dealing:	Daily with cut off 1500 hrs CET
Settlement & Redemption:	T+3 / T+5
Launch Date:	29-Aug-2018
ISIN Code:	LU1861556378
Bloomberg Ticker:	NIKAADA LX
Valoren Number:	45934909
NAV per Share:	9.82

Source: Bloomberg, Brown Brothers Harriman (Luxembourg) S.C.A., SMBC Nikko Bank (Luxembourg) S.A., BNP Paribas, Luxembourg Branch and Nikko Asset Management Co., Ltd.

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. Fin Tech Innovation Companies – technologies that make financial services more efficient. The Sub – Fund is classified as article 6 and analyses sustainability risk as part of its risk management process to enhance its long-term risk adjusted return but does not promote specific environment, social or sustainability characteristics within the meaning of the SFD Regulation. The fund is actively managed and Investors should read the KIID/PRIIPs documents and prospectus prior to investing.

Risk Information

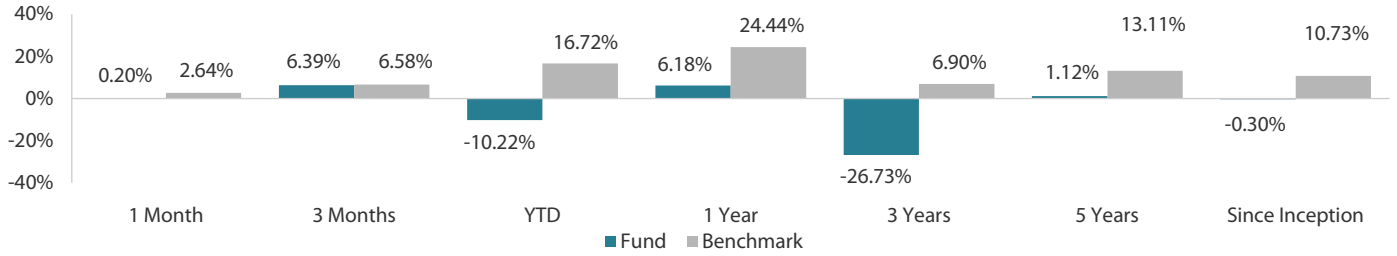
Synthetic Risk & Reward Indicator (SRRI)

Lower risk — Potentially lower reward

Higher risk — Potentially higher reward

1	2	3	4	5	6	**7**

Net Performance Returns



	1Mths	3Mths	YTD	1Yr	3Yrs	5Yrs	SI
Class A USD	0.20%	6.39%	-10.22%	6.18%	-26.73%	1.12%	-0.30%
Benchmark	2.64%	6.58%	16.72%	24.44%	6.90%	13.11%	10.73%

12 Month Performance Periods

From:	31 Aug 2023	31 Aug 2022	31 Aug 2021	31 Aug 2020	30 Aug 2019
To:	30 Aug 2024	31 Aug 2023	31 Aug 2022	31 Aug 2021	31 Aug 2020
Class A USD	6.18%	8.03%	-65.70%	29.24%	107.97%
Benchmark	24.44%	15.60%	-15.08%	29.76%	16.79%

Performance periods in excess of 1 year are annualised
Past performance is not an indicator of future performance
Source: Nikko AM, MSCI

Fund Holdings

Top 10 Holdings	Fund
Tesla Motors, Inc.	8.84%
Roku Inc	7.16%
Roblox Corp	6.66%
Palantir Technologies Inc	5.81%
Coinbase Global Inc	5.80%
Shopify, Inc. Class A	5.07%
Block, Inc	4.81%
Robinhood Markets Inc	4.60%
Meta Platforms, Inc. Class A	4.07%
10X Genomics Inc	3.38%
Cash	**1.18%**

Market Cap	Weight
Mega Cap (over USD 50Billion)	32.89%
Large Cap (b/t USD 10Billion and USD 50Billion)	33.11%
Mid Cap (b/t USD 2Billion and USD 10Billion)	29.22%
Small Cap (Less than USD 2Billion)	3.61%

Currency	Weight*
US Dollar	99.91%

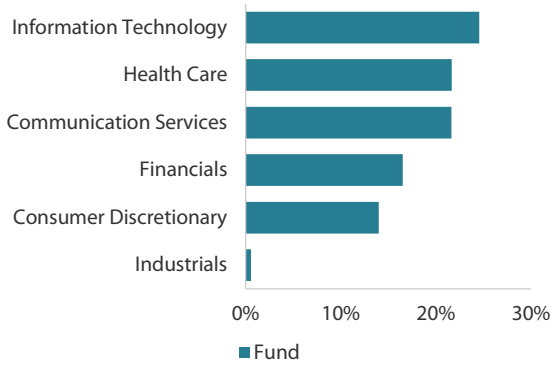
Portfolio

Fund Composition	Weight
Intelligent Devices	20.44%
Next Gen Cloud	15.51%
Digital Wallets	13.58%
Neural Networks	10.57%
Multiomic Technologies	9.31%
Precision Therapies	8.81%
Autonomous Mobility	8.79%
Cryptocurrencies	3.84%
Smart Contracts	2.64%
Programmable Biology	2.56%
Adaptive Robotics	2.33%
Advanced Battery Technologies	1.61%

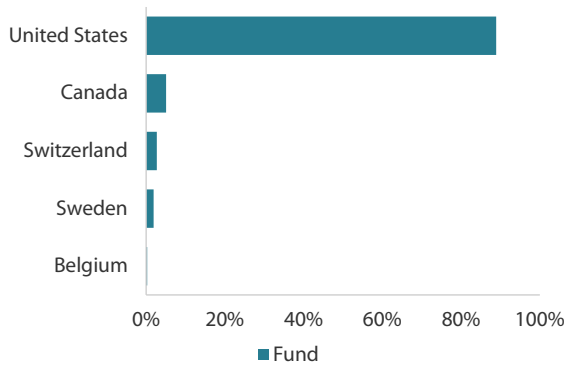
*Amounts of less than 0.1% are not displayed
Reference to any particular securities is purely for information only and does not constitute a recommendation to buy, sell or hold any securities or to be relied upon as financial advice in any way.

Source: Bloomberg, Brown Brothers Harriman (Luxembourg) S.C.A., SMBC Nikko Bank (Luxembourg) S.A., BNP Paribas, Luxembourg Branch, Nikko Asset Management Co., Ltd. Securities listed may not be marketed in your domicile country

Sector Allocation



Regional Allocation



Source: Bloomberg, Brown Brothers Harriman (Luxembourg) S.C.A., SMBC Nikko Bank (Luxembourg) S.A., BNP Paribas, Luxembourg Branch and Nikko Asset Management Co., Ltd.

Fees & Charges

Management Fee 0.75%
Ongoing charge: 0.72%
Performance fee: none
Entry Charge: up to a maximum of 5.00%, which may be waived
Exit Charge: 0.00%

Risk Considerations

High Volatility UCITS - The price of this fund may be volatile as it may take higher risks in search of higher rewards, meaning the price may go up and down to a greater extent.

Currency Risk - The sub-fund may invest in assets denominated in a currency other than the base currency of the sub-fund. Also, a class of shares may be designated in a currency other than the base currency of the sub-fund. The sub-fund may lose value as a result of movements in foreign exchange rates.

Performance - Investment objectives express an intended result but there is no guarantee that such a result will be achieved. Depending on market conditions and the macro economic environment, investment objectives may become more difficult to achieve.

Liquidity Risk - investments that could have a lower level of liquidity due to (extreme) market conditions or issuer-specific factors and or large redemptions of shareholders. Liquidity risk is the risk that a position in the portfolio cannot be sold, liquidated or closed at limited cost in an adequately short time frame as required to meet liabilities of the Sub-Fund.

Sustainability Risk - the risk arising from any environmental, social or governance events or conditions that, were they to occur, could cause material negative impact on the value of the investment. Specific sustainability risk can vary for each product and asset class, and include but are not limited to: Transition Risk, Physical Risk, Social Risk and Governance Risk.

Important Information

This document is a promotional document (the "Document"). The Document does not constitute neither an offer nor a solicitation to subscribe. The Document is addressed to Professional Investors. This document has been prepared as at the date specified at the top of the first page.

For the purposes of this Document, the “Fund" means the fund referred to at the top of the first page and "Unit" means the unit in the Fund. The Document is issued and published by the Fund's management company, Nikko Asset Management Luxembourg (the “Management Company”), having its registered office at 32-36, bd. d’Avranches, L-1160 Luxembourg, authorized and regulated by the Commission de Surveillance du Secteur Financier (“CSSF”). The Management Company is acting as global distributor for the Fund.

The fund is a sub-fund of an investment company with variable capital (SICAV) of Luxembourg law, approved and supervised by CSSF. The Fund is an undertaking for collective investment in transferable securities (« UCITS ») governed by the provisions of The Law of 17 December 2010 in accordance with Directive 2009/65/EC of the European Parliament and of the Council of 13 July 2009.

The Fund draws your attention to the fact that the NAV may have a high volatility due to its portfolio composition or the portfolio management techniques that may be used. Investing in a fund can involve risks; the investor may not get back the invested money. Past performance is not a reliable indication of future performance. Past performance is disclosed net of investment management fees, trading commissions and administrative fees; entry and exit fees are not taken into account in the calculation of the past performance. The return may increase or decrease as a result of currency fluctuations. Changes in exchange rates may have an adverse effect on the value price or income of the product, either upwards or downwards. Other costs (than the published fees) may be borne by investors. The information contained in this document, whether the reference is to certain securities or financial instruments, or to funds under collective management, does not constitute investment advice and their consultation is carried out under the sole responsibility of the reader.

The countries in which the Fund is authorised for marketing is available on the website https://emea.nikkoam.com/ucits. The Fund have not been registered under the United States Securities Act of 1933 and may not be directly or indirectly offered or sold in the United States of America, or any of its territories or possessions or areas subject to its jurisdiction, or to or for the benefit of a United States person, unless pursuant to an exemption from United States registration requirements available under United States laws, any applicable statute, rule or interpretation

In accordance with Article 93a of Directive 2009/65/EC, the Management Company may cease the marketing of all or part of the Fund's units in one or more jurisdictions by means of an ad-hoc communication as provided by law

The fund’s prospectus and the Key Information Document (the “KIID”), if any, must be read before investing in the Fund. These documents, as well as the latest annual and semi-annual reports, are available free of charge in English on request to the Management Company, on our website at https://emea.nikkoam.com/ucits or through the local facilities listed below.

Investors are strongly advised to carefully read the risk warnings and regulations contained in the prospectus; it is also recommended to seek advice from financial and tax advisors. If applicable, the entry and exit fees related to the fund are due to the distributor.

Any complaint may be addressed free of charge to the Management Company, addressed to the Complaints handling officer at 32-36, bd. d’Avranches, L-1160 Luxembourg or to your distributor if applicable. For information on investor rights and how to raise complaints please go to https://emea.nikkoam.com/files/pdf/funds/complaints_handling_policy.pdf.

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Important Information continued

FACILITIES FOR INVESTORS RESIDENT IN A MEMBER STATE OF THE EUROPEAN UNION (EU) OR THE EUROPEAN ECONOMIC AREA (EEA) IN WHICH THE FUND IS MARKETED

Subscription, redemption and/or switch orders can be made through (i) your bank, financial intermediary or distributor, (ii) the Custodian BNP Paribas Securities Services - Luxembourg Branch whose office is at 60, avenue J.F. Kennedy, L-1855 Luxembourg, Grand-Duchy of Luxembourg.All information on the subscription, redemption, switch or dividend payment procedure is available on Nikko Asset Management website: emea.nikkoam.com

For investors resident in EU:

Facilities for investors in Germany are provided by BNP Paribas Securities Services S.C.A. Zweigniederlassung Frankfurt, Europa-Allee 12, 60327 Frankfurt
Facilities for investors in France are provided by BNP Paribas Securities Services S.C.A., 9 rue du Débarcadère, 93500 Pantin, France
Facilities for investors in Ireland, Austria, Denmark, Italy, Spain, Norway, Finland, Sweden, Netherlands are provided by CARNE GLOBAL FINANCIAL SERVICES LIMITED, 2nd Floor, Block E, IveaghCourt, Harcourt Road, Dublin 2, Ireland via the following link: https://nikkoam.curator.carnegroup.com/facilitiesagent

For investors resident in Italy:

The fund is only marketed to institutional investors.

For investors resident in Belgium:

Receiving this award/rating/label does not mean that the fund meets your own sustainability objectives or that it meets the requirements of future national or European rules. For more information on this subject, visit the website www.fsma.be/fr/finance-durable. Facilities for investors resident in Belgium are provided by CARNE GLOBAL FINANCIAL SERVICES LIMITED, 2nd Floor, Block E, IveaghCourt, Harcourt Road, Dublin 2, Ireland via the following link: https://nikkoam.curator.carnegroup.com/facilitiesagent. If applicable, the Prospectus, KIIDs/KIDs, latest semi-annual and annual reports are also available, in English and French at CARNE GLOBAL FINANCIAL SERVICES LIMITED in Belgium]. The daily net asset values (NAVs) of the funds distributed in Belgium are published on the online platform Fundinfo at www.fundinfo.com

If the handling of a complaint by the Management Company is deemed insufficient, the investor may contact OMBUDSFIN asbl, mediation service for financial services, North Gate II, Boulevard du Roi Albert II, n°8, bte. 2, B-1000 Brussels, by telephone at +32 2 545 77 70, by e-mail at ombudsman@ombudsfin. be. Visit the page www.ombudsfin.be for more information.

The tax on stock exchange transactions concluded or executed in Belgium is 1.32% on the redemption of capitalisation shares (with a max of EUR 4,000). The rate of withholding tax for natural persons resident in Belgium and applicable to interests relating to capitalisation funds and distribution funds investing at least 10% of their portfolio in debt securities is 30%.

Facilities for investors in Switzerland:

The Fund is marketed in Switzerland to qualified investors on the basis of [Article 120 of the Collective Investment Schemes Act (LPCC) / Article 120§4 of the LPCC]. The prospectus, key (investor) information document, Articles of Association, semi-annual and annual reports if applicable for Swiss investors can be obtained free of charge from the Fund's Swiss representative, BNP Paribas, Paris, Zurich Branch, Selnaustrasse 16, CH-8002 Zurich. In respect of the units offered in and from Switzerland, the place of performance is at the registered office of the representative in Switzerland. The place of jurisdiction is at the registered office of the representative in Switzerland or at the registered office or place of residence of the investor. The payment service in Switzerland is BNP Paribas, Paris, Zurich Branch, Selnaustrasse 16, CH-8002 Zurich. Fees and incidental costs disclosed in this document are calculated on the basis of the last reporting period. The net asset values are made available on the platform Fundinfo at www.fundinfo.com

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