WE BELIEVE INNOVATION IS KEY TO GROWTH

ARK aims to offer investment solutions for investors seeking long-term growth in the public markets.
Capturing Long-Term Growth Through Disruptive Innovation

Rooted in over 40 years of experience, we aim to identify long-term investment opportunities resulting from technological innovations such as robotics, artificial intelligence, energy storage, DNA sequencing, and blockchain technology. By focusing solely on disruptive innovation, we believe we can deliver long-term capital appreciation and performance with low correlation to traditional investment strategies.

ARK researches and invests in a broad global universe that spans all countries and market capitalizations to identify companies that we believe will be the leaders, enablers, and beneficiaries of innovation. ARK’s Open Research Ecosystem is designed to capitalize on rapid change through the convergence of internal and external insights, combining top-down and bottom-up research.

ARK sizes the opportunity of innovation, and then evaluates companies we believe are best positioned to benefit. An iterative investment process and active management of high-conviction portfolios allow ARK to capitalize on rapid change, and to avoid industries and companies likely to be displaced by advances in technology.

ARK’s Investment Strategies

ARK manages and sub advises a number of global public equity portfolios across a variety of investment vehicles. ARK’s products include a suite of exchange traded funds (ETFs), mutual funds, and managed accounts all focused solely on disruptive innovation. Each strategy seeks investment opportunities that offer growth over 3-5 years that we believe the market ignores or underestimates.

Opportunity for Uncorrelated Growth with Low Overlap to Broad Benchmarks

- A negative correlation of relative returns to traditional value strategies
- A low correlation of relative returns to traditional growth strategies
- Strategies with high active share in the mid-to-upper 90th percentile
- Conviction-based portfolios unconstrained by geographic boundaries, sectors, or style
- Wide range of market capitalization from micro to mega caps

Potential Benefits of Investing in ARK’s Strategies

- Long-term growth opportunities by accessing companies at the forefront of innovation
- Diversification with low correlation relative to traditional indices or managers
- Moderate-to-high risk profile suited for a medium-to-long term investment horizon
- Complement to broad-market indices or traditional value/growth managers
- Exposure to companies that have the potential to contribute positively to the future
### Strengths of ARK Invest

- ARK focuses solely on offering investment solutions to capture disruptive innovation.
- ARK’s Founder and Chief Investment Officer (CIO), Catherine D. Wood, managed over $5 billion as CIO of Global Thematic Strategies at AllianceBernstein for a span of 12 years.
- ARK’s CIO and Director of Research have worked together for almost 15 years.
- Teams of analysts are strategically organized by cross-sector innovation themes.
- ARK’s Open Research Ecosystem is designed to identify disruptive innovation early.
- ARK’s research approach benefits from collaborative, interdisciplinary information flow.
- ARK’s active management focuses on the long-term effect of disruptive technologies.

### Research and Investment Team

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<thead>
<tr>
<th>Name</th>
<th>Position</th>
<th>Background and Experience</th>
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| **Catherine D. Wood** | Founder, CEO, CIO               | Prior: AllianceBernstein, CIO Global Thematic Strategies  
BS, Finance and Economics, University of Southern California |
| **Brett Winton**   | Director of Research            | Prior: AllianceBernstein, Strategic Research Analyst  
BS, Mechanical Engineering, Massachusetts Institute of Tech. |
| **Renato Leggi, CFA, CAIA** | Client Portfolio Manager       | Prior: Capital One, Wealth Management, Director of Research and Due Diligence  
MS, Loyola University Maryland, Finance |
| **James Wang**     | Analyst                          | Prior: NVIDIA, Product Manager  
BE, Computer Engineering, University of New South Wales |
| **Tasha Keeney, CFA** | Analyst  
Autonomous Tech, MaaS, 3D Printing | Prior: Management Consultant, Applied Value  
BA, Mathematics and Statistics, Boston University |
| **Sam Korus**      | Analyst                          | Prior: Business Development, Graphiq  
BS, Cognitive Science, University of Pennsylvania |
| **Alexandra Urman** | Analyst  
Immunotherapy, Gene Editing     | Prior: IBM Watson Health, Senior Research Program Manager  
M.P.H., Public Health, New York Medical College |
| **Simon Barnett**  | Analyst                          | Prior: Finance and Operations, Aditus Holdings  
BS, Chemical and Biomolecular Eng., Johns Hopkins University |
| **Nick Grous**     | Analyst                          | Prior: York International Insurance, Account Executive  
BA, Political Science, University of Michigan |
| **Maximilian Friedrich** | Analyst  
Fintech, Venture Capital       | Prior: Analyst, Redstone Venture Capital  
BS, Economics, University of Heidelberg, Germany |
| **Yassine Elmandjra** | Analyst  
Blockchain Technology, Cryptoassets | Prior: Analyst, Rembrandt Venture Partners  
BE, Systems Engineering, University of Pennsylvania |
| **George Whitridge** | Analyst  
Fintech, Lending                | Prior: Square Capital, Business Development Manager  
BA, Business & Entrepreneurship, Brown University |
For further information regarding investment opportunities in disruptive innovation please contact ARK Invest at info@ark-invest.com, or call +1 (212) 426-7040.

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[1] Active Share is a measure of the percentage of stock holdings in a manager’s portfolio that differ from a benchmark index. High Active Share can be an indicator for uncorrelated returns.

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