

**VanEck Genomics and Healthcare Innovators UCITS ETF**  
**Sustainability-related information pursuant to Art. 37 of Regulation (EU) 2022/2088 (“SFDR”)**

**Product name:** VanEck Genomics and Healthcare Innovators UCITS ETF

**Legal entity identifier:** 254900K9GCSPWNLRN078

**ISIN:** IE000B9PQW54

**a) Summary**

VanEck Genomics and Healthcare Innovators UCITS ETF (der „Fonds“) wurde gemäß Artikel 9 (1) der Verordnung (EU) 2019/2088 über die Offenlegung von Angaben zur Nachhaltigkeit im Finanzdienstleistungssektor („SFDR“) eingestuft. Der Fonds verfolgt ein nachhaltiges Anlageziel, wobei der Schwerpunkt auf sozialen Zielen liegt: Er zielt auf die Verbesserung und Entwicklung von Produkten und Dienstleistungen ab, welche die Zugänglichkeit der Gesundheitsversorgung (E-Healthcare) und die Verbesserung der Lebensqualität durch genomische Krankheitsbehandlung und -diagnose erhöhen. Er trägt zu sozialen Zielen bei, die mit dem Ziel für nachhaltige Entwicklung (SDG) „Gesundheit und Wohlbefinden“ übereinstimmen. Zur Erreichung des nachhaltigen Anlageziels bezieht der Fonds Nachhaltigkeitsabwägungen in seinen passiven Anlageprozess ein, indem er ESG-Merkmale berücksichtigt, ESG-bezogene Ausschlüsse vornimmt und in Bezug auf Nachhaltigkeitsfragen stellvertretend abstimmt.

Der Fonds verfolgt eine passive Anlagestrategie, bei der er seine Referenzbenchmark so genau wie möglich nachbildet und in direkte Finanzinstrumente investiert, die zu 100 % nachhaltig sind. Die Anlagerichtlinien des Fonds erfordern keine speziell definierte Ausrichtung an der EU-Taxonomie. VanEck Genomics and Healthcare Innovators UCITS ETF investiert in Unternehmen, die nach Feststellung des Indexanbieters einen erheblichen (>50 %, >25 % für aktuelle Komponenten) Teil ihrer Einnahmen aus den folgenden Unterthemen erzielen: (a) Therapien auf der Grundlage des Targeting oder der Modifizierung des Erbguts von Zellen oder der Verwendung von mRNA; (b) Technologie-Plattformen für die Entwicklung von Gentherapien; (c) Laborgeräte und -dienstleistungen für das Testen, die Codierung oder die Entwicklung von Gentherapien; (d) Software für Telemedizin; (e) Online-Apotheken; (f) Software für die Verwaltung von Arztpraxen und/oder Patientenakten; (g) Ambulante Internet of Things (IoT)-Geräte für die Fernüberwachung von Gesundheitsindikatoren, wie Herzfrequenz und -rhythmus oder Glukosespiegel. Darüber hinaus werden gemäß der Indexmethodik bestimmte ESG-bezogene Ausschlüsse angewandt, um sicherzustellen, dass die Unternehmen kein anderes ökologisches oder soziales nachhaltiges Anlageziel wesentlich beeinträchtigen.

Darüber hinaus werden gemäß der Indexmethodik bestimmte ESG-bezogene Ausschlüsse angewandt, um sicherzustellen, dass die Unternehmen kein anderes ökologisches oder soziales nachhaltiges Anlageziel wesentlich beeinträchtigen. Die Screenings berücksichtigen:

1. Umstrittene Sektorbeteiligungen, bei der die Unternehmen auf ihre Beteiligung an bestimmten Sektoren überprüft werden:
  - Umstrittene Waffen: Es gilt eine Umsatzschwelle von 0 %;
  - Tabak, Kraftwerkskohle, fossile Brennstoffe, Ölsand, Kernenergie, zivile Schusswaffen, Militär und Glücksspiel: Es gilt eine Umsatzschwelle von 5 %;
2. Verstöße gegen internationale Standards, z. B. in Bezug auf Menschenrechte, Arbeitsrechte, Umweltrisiken und Bestechung.

Im Rahmen seiner ESG-Screening- und Proxy-Voting-Richtlinien berücksichtigt der Fonds mehrere prinzipiell negative Indikatoren wie Treibhausgasemissionen, biologische Vielfalt, Wasser, Abfall, Soziales und Arbeitnehmer, Achtung der Menschenrechte sowie Bekämpfung von Korruption und Bestechung.

#### **b) No significant harm to the sustainable investment objective**

This Financial product does not significantly harm any other environmental or social sustainable investment objective. By means of Norm-based research and Controversial sector involvement screenings, the Fund takes the Principal adverse impacts on sustainability factors relating to greenhouse gas emissions, biodiversity, water, waste, social and employee, respect for human rights, anti-corruption and anti-bribery matters into account. In addition, the Fund excludes companies when ISS rating shows the verifiably violated or imminent to violate the OECD Guidelines for Multinational Enterprises or the UN Guiding Principles on Business and Human Rights.

#### **c) Sustainable investment objective of the financial product**

The Fund aims investing in companies that enhance and developing products and services that increase the accessibility of healthcare (e-healthcare) and improvement of the quality of life via genomic disease treatment and diagnostics, thereby contributing to social objectives aligned with the SDG goal #3 "Good Health and Well-being".

Therefore, the Fund aims to invest in companies which were determined by the Index Provider to generate a significant (>50%, >25% for current components) part of their revenues from the following sub-themes:

1. Healthcare therapies based on the targeting or modification of genetic makeup of cells or uses mRNA;
2. Technology platforms that enable the development of genetics-based healthcare therapies;
3. Laboratory equipment or services used to test, code, or develop genetics-based healthcare therapies;
4. Software used to facilitate online medical consultations;
5. E-Commerce pharmacies;
6. Software for the management of medical practices and/or patient records;
7. Outpatient medical Internet of Things devices which allow remote monitoring of health indicators such as heart rate and rhythm, or glucose levels.

Additionally, the Glass Lewis ESG policy guidelines are applied to the Fund's investments, whereby casted votes concern sustainability matters.

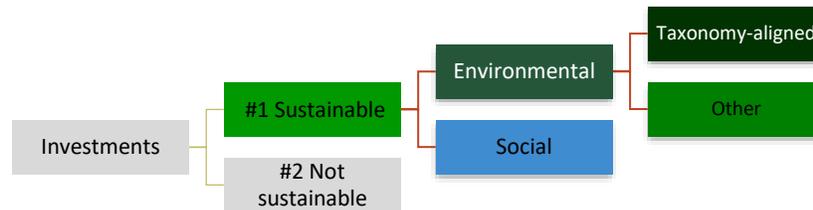
#### **d) Investment strategy**

The Fund's investment objective is to replicate, before fees and expenses, the price and yield performance of the MVIS® Global Future Healthcare ESG Index. The Fund seeks to invest in companies generating revenues from genomic healthcare and e-Healthcare industries. Norm-based research and Controversial sector involvement screenings are performed in the selection of companies in the index. In addition, the Glass Lewis ESG-tilted voting policy is applied, whereby casted votes in shareholder meetings of companies in the portfolio concern sustainability matters.

Good governance practices of the investee companies are assessed by excluding companies that very severely violate the OECD Guidelines for Multinational Enterprises and and the UN Guiding Principles on Business and Human Rights.

## e) Proportion of investments

The Fund invests in direct financial instruments of which 100% is sustainable. All of those sustainable investments are socially sustainable.



## f) Monitoring of sustainable investment objective

The sustainable investment objective is monitored in the following manner:

The Fund aims at contributing to a social objective, namely the accessibility of medical services and improving quality of human health. Therefore, the Fund invests in companies which contribute to research and development of genetics-based healthcare therapies and electronic healthcare platforms.

1. The sustainable investment objective alignment is measured with the following indicator(s):
  - The weighted percentage of investee companies' revenues derived from contribution to genomics and e-Healthcare.
  - The % of portfolio involved in violations of UN Global Compact, the OECD Guidelines for Multinational Enterprises and the UN Guiding Principles for Business and Human Rights. The target is 0% at rebalancing;
  - The % of portfolio involved in the fossil fuels industry, which cannot be higher than 5% at rebalancing;
  - The % of portfolio involved in non-renewable energy production.
2. This is monitored in the following manner:
  - The requirements relating to the percentage of companies' revenues derived from the relevant themes, and Controversial sector involvement screenings (tobacco, fossil fuels, thermal coal mining, gambling, oil sands, civilian firearms, military equipment and services, and nuclear power) are included in the Index rules which are defined by the Index provider.
  - Companies are screened for compliance with the Index rules and the Index is rebalanced on a periodic basis by the Index Provider.
  - The Fund's Portfolio Management team replicates the Index based on the Index rules.
  - Any breaches of the Index rules are reported to VanEck by the Legal and Compliance Team.
  - VanEck has policies in place to assess the alignment of the Fund's investments with the Index and to undertake recovery measures where necessary..

The Glass Lewis ESG tilted voting policy is applied, whereby casted votes concern sustainability matters.

1. This is monitored in the following manner:
  - VanEck has appointed a service provider to exercise voting rights.
  - VanEck is periodically informed by the service provider on the voting activities.

## **g) Methodologies**

The screening of companies consists of a few components as described above. The exact methodology of the Fund's sustainable investments objective is determined by the Index provider. More information can be found in the Fund's Index rules.

Voting is delegated to Glass Lewis. Glass Lewis determines the voting approach based on its assessment of the voting proposals and the alignment with the voting policy. VanEck is periodically informed on the activities and has access to an online platform where the information on the proxy voting, policy implementation, recordkeeping and reporting can be found.

## **h) Data sources and processing**

### *The data sources used*

1. ISS for global norms, revenue exposure and controversial weapons involvement screenings through the Index provider
2. Investee companies' revenues derived from hydrogen and fuel cell projects through the Index provider.
3. ISS for data on company involvement in non-renewable energy production.
4. Glass Lewis data related to voting activities

### *The measures taken to ensure data quality*

The mentioned data sources are used by VanEck and/or its Index provider and service provider. VanEck does not receive most of the the data directly from data providers. With regards to the non-renewable energy production data VanEck utilizes a reporting service whereby calculations can be made in a tool developed by the data provider. Data quality measures are integrated into the reporting service tool. It is also relevant that the data used by the index provider and service provider is of sufficient quality. The index provider and service provider have set up their internal processes to do so. Data quality is a component of the selection process of the index provider.

### *How data are processed*

VanEck does not process most of the data on its own for the Fund. VanEck receives reports on a periodic basis from the index provider and the service provider. VanEck is periodically informed on the index construction, implementation, results and progress of the voting activities.

### *The proportion of data that are estimated*

VanEck does not estimate data, but cannot rule out that the index provider or service provider does estimate data and/or use data provider wich estimate data. Although reported data is preferred, missing information is often supplemented with estimated data by the data providers. For more information on how this exactly is determined, we refer to the website of the mentioned data providers, index provider and service provider.

## **i) Limitations to methodologies and data**

VanEck recognizes the following limitations to methodologies and data:

### **1. Lack of reported data**

In order to attain the sustainable investment objective, data from external data providers is used by the index provider, VanEck and/or service provider. Data providers retrieve data from company reports (such as annual reports). Not all companies report the data. Missing data is sometimes estimated by dataproviders and at times there is no data coverage when it is not possible to estimate the data. This means that in not all cases reported data is present to determine whether the sustainable investment objective attained. By means of choosing a reputable data provider, the risk of erroneous estimates is mitigated.

## 2. Actualisation of data

The index provider rebalances the index on a periodic basis. It is possible that the Fund's do not fully comply with the sustainable investment objective in between the fund rebalancing moments.

### **j) Due diligence**

VanEck does not select investments, but uses indices which are constructed by index providers. As described in the monitoring section, The Fund replicates the index and this is monitored by the Portfolio Management Team and the Legal and Compliance Team.

VanEck has a due diligence process on the selection of index providers and service providers. The board of VanEck decides on the selection of an index or service provider. The proposal for an index or service provider is prepared by the Portfolio Management team. VanEck is responsible for monitoring the replication of the index and the service provider.

VanEck's approach is to achieve and maintain the highest standards of integrity, reporting and internal control on all relevant environmental, social, and governance (ESG) matters, sustainability factors in its policies, practices, operational set-up and selection and monitoring of investments as well as identification and mitigation of ESG related risks. A more detailed description on the due diligence that VanEck carries out is available in the ESG Due Diligence Policy, which can be found at the following link: [Policies & Procedures | VanEck](#).

### **k) Engagement policies**

The financial product engagement is limited to dialogues with the index provider in further refining the index rules and can relate to the increasing consideration of sustainability factors in the composition of the index. The VanEck Shareholder Engagement Policy can be found [here](#).

### **l) Attainment of the sustainable investment objective**

As a passive investments strategy, the Fund has designated its underlying index, the MVIS® Global Future Healthcare ESG Index, as reference benchmark to meet the sustainable investment objective.

Sustainability factors are considered as part of screenings which are included in the reference benchmark and assessed at any rebalancing of the underlying Index. By means of Norm-based research and Controversial sector involvement screenings the Fund takes sustainability factors relating to greenhouse gas emissions, biodiversity, water, waste, social and employee, respect for human rights, anti-corruption and anti-bribery matters into account. No EU Climate Transition Benchmark or EU Paris-aligned Benchmark as defined in in Article 3, points (23a) and (23b), of Regulation (EU) 2016/1011 is available for this Fund.

More information on the reference benchmark can be found [here](#).