

# First Trust NYSE Arca Biotechnology ETF

(fka First Trust AlphaDEX™ U.S. Materials Sector Index ETF)

**Ticker: FBT**

## Quarter End Statement of Investments

3rd Quarter as at September 30, 2023

Sector Allocation	% of Net Asset Value
Exchange-Traded Fund (First Trust NYSE® Arca® Biotechnology Index Fund ["Underlying Fund"])*	99.97%
Cash and Cash Equivalents	0.03%
<b>Total</b>	<b>100.00%</b>
<b>Other Assets and Liabilities</b>	<b>-</b>
<b>Total Net Asset Value</b>	<b>100.00%</b>

Industry Allocation of the Underlying Fund	% of Net Asset Value of the Underlying Fund
Biotechnology	82.10%
Life Sciences Tools & Services	17.90%
Cash and Cash Equivalents	1.32%
<b>Total</b>	<b>101.32%</b>
<b>Other Assets and Liabilities</b>	<b>(1.32%)</b>
<b>Total Net Asset Value of the Underlying Fund</b>	<b>100.00%</b>

Country Allocation of the Underlying Fund	% of Net Asset Value of the Underlying Fund
United States	80.68%
Netherlands	6.35%
Germany	3.60%
Spain	3.16%
Ireland	3.16%
Denmark	3.05%

Holdings	% of Net Asset Value
First Trust NYSE® Arca® Biotechnology Index Fund	99.97%
<b>Total Net Asset Value</b>	<b>\$1,998,120</b>

Top 25 Holdings of the Underlying Fund	% of Net Asset Value of the Underlying Fund
Sarepta Therapeutics, Inc.	4.12%
Amgen Inc.	4.12%
Neurocrine Biosciences, Inc.	4.10%
Regeneron Pharmaceuticals, Inc.	4.03%
Ionis Pharmaceuticals, Inc.	4.01%
Exelixis, Inc.	3.99%
Seagen Inc.	3.92%
BioMarin Pharmaceutical Inc.	3.63%
BioNTech SE (ADR)	3.60%
Vertex Pharmaceuticals Incorporated	3.45%
Charles River Laboratories International, Inc.	3.42%
Gilead Sciences, Inc.	3.34%
Biogen Inc.	3.34%
United Therapeutics Corporation	3.27%
Incyte Corporation	3.24%
Agios Pharmaceuticals, Inc.	3.24%
argenx SE (ADR)	3.22%
Alnylam Pharmaceuticals, Inc.	3.18%
Grifols, S.A. (ADR)	3.16%
Alkermes Plc	3.16%
QIAGEN N.V.	3.12%
IQVIA Holdings Inc.	3.10%
Genmab A/S (ADR)	3.05%
Ultragenyx Pharmaceutical Inc.	2.97%
Moderna, Inc.	2.94%
<b>Total Net Asset Value of the Underlying Fund (in USD)</b>	<b>\$1,258,672,383</b>

\*The First Trust ETF obtains exposure to the performance of an index of U.S. companies in the biotechnology industry, initially the NYSE® Arca Biotechnology Index (the "Index") by investing in the Underlying Fund, a U.S.-listed index fund (i.e. First Trust NYSE® Arca® Biotechnology Index Fund [the "Underlying Fund"]) which itself replicates or substantially replicates the Index.

Commissions, management fees and expenses all may be associated with ETF investments. Please carefully read the simplified prospectus of the ETF before investing. ETFs are not guaranteed, their values change frequently and past performance may not be repeated. Data is as of September 30, 2023 (unaudited).

(10/23)