

Energy Innovation Portfolio, Series 9

Investment Objective

The Energy Innovation Portfolio, Series 9 (Trust) seeks to maximize total return through capital appreciation.

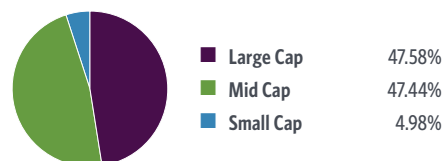
Key Considerations

- **Unique Exposure to Traditional and Alternative Energy Innovation:** Seeks to offer investors exposure to innovation related to both traditional energy and alternative energy markets within and beyond the energy sector.
- **Growth Opportunity:** Attractive growth potential through investing in companies that Guggenheim believes are at the leading edge of a structural shift in global energy production, storage, and/or consumption.
- **Competitive Strength:** The Trust seeks to invest in leading companies with strong financials that may be positioned to benefit from evolving technologies related to energy.

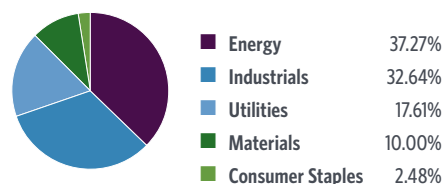
Portfolio Allocation

Breakdown and weightings are as of 1.30.2026

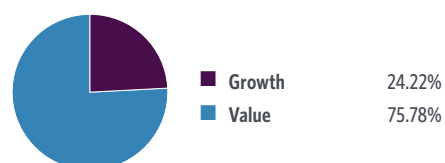
CAPITALIZATION BREAKDOWN



SECTOR BREAKDOWN



STYLE BREAKDOWN










Opportunities in the Innovation Transforming the Energy Market

The ways that energy is produced, stored, and consumed are undergoing transformation in both traditional and alternative sources. Increased competition in the marketplace is driving traditional energy companies to enhance technologies, lower emissions, and become more efficient in their business models. At the same time, innovation may help reduce the cost of alternative energy and make newer sources more accessible.

To offer investors access to innovation that is helping to drive the evolution of the energy market, Guggenheim created the **Energy Innovation Portfolio**. The portfolio seeks to invest in innovative companies¹ that may be positioned to benefit from evolving technologies related to energy that may have the ability to improve productivity, improve efficiency, reduce carbon emissions, or generate non-traditional sources of energy. These innovative companies can come from a variety of GICS sectors—both within and outside of the traditional oil and gas space.

Key Themes

There are seven identified themes that Guggenheim believes may be positioned to benefit from evolving technologies related to energy. Theme weightings are as of 1.30.2026 and are subject to change.

 <p>Renewable Energy (19.92%)</p> <p>A sustainable alternative to conventional power sources, renewable energy is often referred to as clean energy. It comes from natural sources or processes that are constantly replenished such as wind, solar, water, and bioenergy.</p>	 <p>Energy Storage, Maintenance & Transmission (7.74%)</p> <p>The rising share of renewables in the world's energy mix has propelled the need for storage and transmission for when and where energy is needed.</p>
 <p>Alternative Fuels (19.99%)</p> <p>Derived partly or wholly from sources other than petroleum, alternative fuels are typically used to power engines. They often are more environmentally friendly and include biodiesel, electricity, natural gas, ethanol, hydrogen, propane, and nuclear.</p>	 <p>Artificial Intelligence Infrastructure (12.49%)</p> <p>Electricity is the lifeblood of the data centers supporting the ongoing proliferation of artificial intelligence. In order to meet the growing demand for electricity for these data centers, new energy sources and power infrastructure are required.</p>
 <p>Natural Gas & Hydrogen (14.96%)</p> <p>Natural gas is the cleanest-burning fossil fuel and can function as a backup fuel to generate electricity when renewables are unavailable. Hydrogen is a clean-burning fuel that could contribute to solving clean energy storage issues: renewable energy can be used to create hydrogen and it can be stored until the energy is needed to balance supply with demand.</p>	 <p>Next Generation Hydrocarbons (19.94%)</p> <p>Energy companies associated with traditional hydrocarbon fuels (like oil and gas) are striving to enhance their efficiencies to lower costs and enhance productivity.</p>
 <p>Emission Control Technologies (4.96%)</p> <p>These technologies are used to reduce harmful emissions, improve air quality, and seek carbon neutral status. Emission control technologies (ECTs) may help mitigate air pollution, the greenhouse effect, and smog.</p>	

¹ Innovative companies are those that create new technologies or novel product solutions, which may create new growth opportunities.

PORTFOLIO HOLDINGS

Holdings, breakdown, and weighting are as of 1.30.2026 and subject to change.

COMPANY DESCRIPTION

AI Infrastructure (12.49%)



CAT manufactures construction and mining equipment. It offers backhoe and skid steer loaders, dozers, engines, excavators, generators, motor graders, as well as provides natural gas engines, turbines, and diesel-electric locomotives. It serves customers worldwide.



MOD manufactures heat-transfer and heat-storage technology products. It develops, manufactures, and markets heat exchangers and systems for use in various original equipment manufacturer applications and for sale to the automotive aftermarket and to a wide array of building markets.



PWR provides specialized contracting services to electric utilities, telecommunication, cable television operators, and governmental entities. It also installs transportation control and lighting systems and provides specialty electric power and communication services for industrial and commercial customers. It operates projects throughout North America.



SOLS operates as an advanced materials company. It provides refrigerants, semiconductor materials, protective fibers, blowing agents, solvents and aerosol, and healthcare packaging solutions. It serves customers worldwide.



VRT operates as a holding company. Through its subsidiaries, it provides DC power systems, heat rejection, power transfer switches, monitoring equipment, power control, and holistic data center cooling solutions. It serves broadcast, entertainment, education, federal, healthcare, retail, and telecom industries worldwide.

Alternative Fuels (19.99%)



CEG produces carbon-free energy and sustainable solutions. It generates and distributes nuclear, hydro, wind, and solar energy solutions. It serves homes, institutional customers, public sectors, community aggregations, and businesses in the U.S.



DAR collects and recycles animal processing byproducts and used restaurant cooking oil. It also provides grease trap collection services to restaurants, and processes such raw materials into finished products such as tallow, meat and bone meal, and yellow grease for sale in the U.S. and overseas.



DINO refines, transports, stores, and markets petroleum products. Its refineries produce light products such as gasoline, diesel fuel, and jet fuel that are marketed in the southwestern U.S., northern Mexico, and Montana.



MPC is a downstream energy company that refines, supplies, markets, and transports petroleum products. It serves customers in the U.S.



PSX operates as a downstream energy provider that manufactures, transports, and markets fuels, chemicals, midstream, and emerging energy products and services. It serves customers worldwide.



TLN owns and operates power infrastructure in the U.S., located in the Mid-Atlantic, Montana, and New England. It produces and sells electricity, capacity, and ancillary services into wholesale U.S. Talen is headquartered in Houston, Texas.



VLO is an independent petroleum refining and marketing company that owns and operates refineries in the United States, Canada, and Aruba. It produces conventional gasolines, distillates, jet fuel, asphalt, petrochemicals, lubricants, and other refined products, as well as diesel fuel, low-sulfur and ultra-low-sulfur diesel fuel, and oxygenates.



VST provides utility services that generates energy. It serves customers worldwide.

Emission Control Technologies (4.96%)



CECO provides air purification equipments and solutions. It offers dampers and diverters, industrial ventilation system, silencers, and scrubbers, as well as other related products. It serves clients worldwide.



KBR provides information technology services and offers consultancy, program management, cybersecurity, science, technology, and engineering solutions. It serves aerospace, defense, industrial, and intelligence markets worldwide.

Energy Storage, Maintenance & Transmission (7.74%)



ETN operates as a power management company that offers actuators, clutches, brakes, and fluid connectors, industrial controls, sensors, motors, generators, pumps, valves, engine, and transmission systems. Eaton serves industrial, vehicle, construction, commercial, and aerospace markets worldwide.



FCX is an international natural resources company. It operates large, long-lived, geographically diverse assets with significant reserves of copper, gold, molybdenum, cobalt, oil, and gas.



GEV operates as an electric power company. It designs, manufactures, and delivers electric power systems and services that generate, transfer, orchestrate, convert, and store electricity. GE Vernova serves customers globally.

Natural Gas & Hydrogen (14.96%)



APD produces industrial atmospheric and specialty gases and performance materials and equipment. Its products include oxygen, nitrogen, argon, helium, specialty surfactants and amines, polyurethane, epoxy curatives, and resins. Its products are used in the beverage, health, and semiconductors fields.



LNG is an energy infrastructure company engaged in liquefied natural gas (LNG)-related businesses and provides LNG to integrated energy, utilities, and energy trading companies. It serves customers worldwide.



CMI designs, manufactures, distributes, and services diesel and natural gas engines. It also manufactures electric power generation systems and engine-related component products, including filtration and exhaust aftertreatment, fuel systems, controls, and air handling systems.

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Natural Gas & Hydrogen (continued)

KINDER MORGAN KMI operates as a pipeline transportation and energy storage company and owns and operates pipelines that transport natural gas, gasoline, crude oil, carbon dioxide, and other products, as well as terminals that store petroleum products and chemicals and handle bulk materials like coal and petroleum coke.



LIN operates as an industrial gas and engineering company that offers industrial gases, technologies, and gas processing solutions that are used in production of clean hydrogen and carbon capture systems for energy transition, medical oxygen, and specialty gases for electronics. It serves customers worldwide.



WMB is an energy infrastructure company focused on connecting North America's hydrocarbon resource plays to growing markets for natural gas, LNG, and olefins. It owns and operates midstream gathering and processing assets, and interstate natural gas pipelines.

Next Generation Hydrocarbons (19.94%)



BKR operates as an energy technology company. It offers drilling, well intervention, decommissioning, surface pressure control, onshore composite pipe, reservoir technical, and integrated well services. It serves customers worldwide.



CVX is an energy company that manufactures crude oil and natural gas, including transportation fuels, lubricants, petrochemicals, and additives. It serves customers worldwide.



COP explores for, produces, transports, and markets crude oil, natural gas, natural gas liquids, LNG, and bitumen on a worldwide basis.



EOG explores, develops, produces, and markets natural gas and crude oil and operates in major producing basins in the U.S., Canada, Trinidad, the British North Sea, China, and select other international areas.



XOM operates as an oil and natural gas production company that provides exploration and production integrated fuels, lubricants, chemicals, and refined products for automotive, trucking, aviation, and shipping industry to reduce greenhouse gas emissions. It serves customers worldwide.



HAL provides energy and engineering and construction services, as well as manufactures products for the energy industry. It offers services and products and integrated solutions to customers in the exploration, development, and production of oil and natural gas.



OXY explores for, develops, produces, and markets crude oil and natural gas. It also manufactures and markets a variety of basic chemicals, vinyls and performance chemicals, and also gathers, treats, processes, transports, stores, trades and markets crude oil, natural gas, NGLs, condensate and carbon dioxide and generates and markets power.



SLB operates as an oilfield services company and provides scaling new energy systems, delivering digital at scale, innovating in oil and gas, and decarbonizing industrial products and services, as well as offers harnessing geothermal energy, enterprise data performance, and methane elimination solutions. SLB serves customers worldwide.

Renewable Energy (19.92%)



ATI produces specialty materials that offers products including titanium, stainless, specialty steel, titanium, nickel-based alloys, and superalloys, zirconium, hafnium and niobium, and grain-oriented electrical steel, tungsten-based materials, cutting tools, carbon alloy impression die forgings, and large grey and ductile iron. ATI serves customers worldwide.



CWEN owns, operates, and acquires renewable and conventional generation and thermal infrastructure projects and offers natural gas and dual fired, solar and wind generation and distribution services. It serves commercial businesses, universities, hospitals, and government companies in the U.S.



DTE operates as an energy company and offers energy marketing and trading, renewable natural gas, and industrial energy solutions, as well as focuses on development and management of energy-related businesses and services. DTE Energy serves customers in the U.S.



DUK operates as a holding company that, through its subsidiaries, provides electric utility upgrades and cleaner generation including natural gas, nuclear, renewables, and energy storage services. It serves customers in the U.S.



NEE is a clean energy company that generates and sells electricity through renewable energy from the wind and sun, as well as providing battery storage solutions. It serves customers in Florida.



NXT designs and develops measuring machines that offers integrated solar tracker and software solutions used in utility-scale and ground-mounted distributed generation solar projects. It serves customers worldwide.



RSG provides non-hazardous solid waste collection and disposal services in the U.S. It provides solid waste collection services for commercial, industrial, municipal, and residential customers. Republic also operates transfer stations, landfills, and recycling facilities.

WM provides waste management services including collection, transfer, recycling, resource recovery, and disposal services, and operates waste-to-energy facilities. It serves municipal, commercial, industrial, and residential customers throughout North America.

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PORTFOLIO SUMMARY

Inception Date	2.2.2026
Termination Date	2.2.2028
Initial Offer Price	\$10.00
Number of Issues	40
Historical Annual Dividend Distribution³	\$0.1373
Distributions	25th day of each month commencing on 2.25.2026, if any

SALES CHARGES AND ESTIMATED EXPENSES

The sales charges (S/C) and estimated expenses are based on a \$10 per unit offering price.

	Standard	Fee/Wrap ⁴
Deferred S/C ⁵	2.25%	-
Creation and Development (C&D) Fee	0.50%	0.50%
Total S/C	2.75%	0.50%
Estimated Organization Expenses ⁶	0.46%	0.46%
Estimated Annual Fund Operating Expenses ⁷	0.23%	0.23%

TICKETING INFORMATION - CUSIPS

Cash	40178P163
Reinvest	40178P171
Fee/Cash	40178P189
Fee/Reinvest	40178P197
Ticker	CGEIX

³ The Historical Annual Dividend Distribution (HADD) is as of the day prior to trust deposit and subject to change. There is no guarantee the issuers of the securities included in the trust will declare dividends or distributions in the future. The HADD of the securities included in the trust is for illustrative purposes only and is not indicative of the trust's distribution rate. The HADD is the weighted average of the trailing twelve-month distributions paid by the securities included in the portfolio and is reduced to account for the effects of fees and expenses, which will be incurred when investing in the trust. The HADD will vary due to certain factors that may include, but are not limited to, a change in the dividends paid by issuers, a change in trust expenses or the sale or maturity of securities in the portfolio. ⁴ Fee/Wrap-based accounts will not be assessed the deferred sales charge for eligible purchases and must purchase units with a Fee-based CUSIP. For unit prices other than \$10, percentage of the C&D fee will vary. ⁵ The deferred sales charge (DSC) is a fixed amount and will be deducted in monthly installments on the last business day commencing September 2026 and ending November 2026 or upon early redemption. For unit prices other than \$10, percentages of C&D fees, and DSCs will vary but in no event will the maximum sales charge (S/C) exceed the total S/C. Early redemption of units will still cause payment of the DSC. However, an initial sales charge, which is equal to the difference between the maximum S/C and the sum of any remaining deferred S/C charges and C&D, will be charged if the price paid for units exceeds \$10 per unit. ⁶ Estimated Organization Expenses are assessed on a fixed dollar amount per unit basis, therefore, actual organization costs may be more or less than estimates. For additional information on organizational costs and potential caps, please see the prospectus. ⁷ Trust operating expenses include fees for administration, bookkeeping, the trustee, sponsor, and evaluator. This expense also includes an estimated Trust operating expense based upon an estimated trust size. If the Trust does not reach or falls below the estimated size, the actual amount of the operating expenses may exceed the amount reflected. Please see "Fees and Expenses" in the Trusts prospectus for additional information.

Energy Innovation Portfolio, Series 9 is a Unit Investment Trust.

RISK CONSIDERATIONS: As with all investments, you may lose some or all of your investment in the Trust. No assurance can be given that the Trust's investment objective will be achieved. The Trust also might not perform as well as you expect. This can happen for reasons such as these: • Securities prices can be volatile. The value of your investment may fall over time. Market values of the Trust's securities fluctuate in response to various factors affecting an issuer. Events such as war, terrorism, natural and environmental disasters and public health emergencies are impossible to predict and may adversely affect the economy which may negatively impact the performance of the Trust and the Trust's ability to achieve its investment objectives. • The Trust invests in innovative energy companies. Companies that are attempting to create new technologies or novel product solutions for the way energy is produced, stored and/or consumed may not in fact do so, and may not be able to capitalize on it. There is no assurance that a company will derive any revenue from innovative energy technologies or solutions, and the success of an innovative energy technology or solution may not affect the value of the equity securities issued by the company. • The Trust is concentrated in the energy and industrial sectors. The factors that impact these sectors will likely have a greater

effect on this Trust than on a more broadly diversified trust. • The Trust invests in securities issued by mid-cap companies, which involve more investment risk due to limited product lines, markets or financial resources and may be more vulnerable to adverse general market or economic developments. • The Trust may be susceptible to potential risks through breaches in cybersecurity. • The Trust is subject to risks arising from various operational factors and their service providers. Although the Trust seeks to reduce these operational risks through controls and procedures, there is no way to completely protect against such risks. **Please see the Trust prospectus for more complete risk information.**

Unit Investment Trusts are fixed, not actively managed and should be considered as part of a long-term strategy. Investors should consider their ability to invest in successive portfolios, if available, at the applicable sales charge. UITs are subject to annual fund operating expenses in addition to the sales charge. Investors should consult an attorney or tax advisor regarding tax consequences associated with an investment from one series to the next, if available, and with the purchase or sale of units. Guggenheim Funds Distributors, LLC does not offer tax advice.

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Read the Trust's prospectus carefully before investing. It contains the Trust's investment objectives, risks, charges, expenses and other information, which should be considered carefully before investing. Obtain a prospectus at GuggenheimInvestments.com.

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