



Company Background Summary

EQIS is a fee based Turnkey Asset Management Platform (TAMP). The EQIS platform has over 75 asset managers and over 240 managed portfolios. EQIS provides advisors the ability to pick and click an investment solution where the EQIS investment committee selects the asset allocation and the asset managers. EQIS also gives advisors the flexibility to create their own asset allocation models and select up to 25 asset managers of their choosing. EQIS offers separately managed accounts, exchange traded funds, and limited mutual funds to deliver a truly Unified Managed Account. EQIS offers strategic asset management, tactical asset management, and hedging strategies. Plus, EQIS offers an industry low account minimum of \$25,000 per account not per money manager.

For more information visit <http://www.public.eqis.com/>

Managed Portfolios, Diversification and Tax Efficiency

At EQIS we allow investors with as little as \$25,000 to take advantage of some of the same investment strategies that ultra high net worth investors have enjoyed for decades, such as separately managed accounts with multiple institutional money managers, providing broad diversification, and tax efficiency. The purpose of EQIS is to reinvent wealth management by providing the average investor access to an asset management philosophy historically available to only ultra high net worth investors.

The average investor has been able to achieve diversification primarily by utilizing mutual funds, which were popularized in the 1920s. But most mutual funds suffer from a variety of shortcomings, such as high costs, hidden fees, and tax inefficiencies, which is why most high net worth investors don't own mutual funds.

The EQIS Advantage provides portfolio diversification by deploying investment principles leveraged by some of the nation's most successful endowments. For many years, the asset managers of the Harvard and Yale endowments have outperformed common benchmarks, such as the S&P 500, by using what is commonly referred to as the 'endowment model.' A component of the endowment model is to employ multiple institutional money managers who allocate the endowment's portfolios across a variety of investment vehicles and asset classes such as global stocks and bonds, precious metals, farm commodities, timber, and oil and gas, to name a few examples. The extensive and publicly available track records of these endowments illustrate how broad diversification can be used to build a robust portfolio with the potential to provide downside protection and upside capture.

Until recently, such broad diversification was unattainable for the average investor without the use of ETFs or mutual funds because of the large account minimums (oftentimes well over \$1 million) typically associated with institutional money managers.

EQIS Allocations Scientifically-Engineered (EAS-E) Models

The EAS-E model portfolios span the spectrum of investment philosophies, from strategic to tactical and all the portfolios are scientifically engineered. The portfolios are based on academic theory, behavioral finance, empirical evidence, scenario analysis, mathematical simulations, and proprietary quantitative modeling. This pick and click solution will allow you more time to build and deepen client relationships.

The overarching philosophy of the allocations is the four pillars of diversification:

1. Asset classes
2. Equity styles
3. Geographic regions
4. Investment philosophies

Our EAS-E Model Portfolios Provide Advisors:

Asset allocations are designed to match clients' risk tolerances and life objectives

Through our financial advisors, clients provide information necessary to help develop a comprehensive portfolio engineered to match to their needs, goals, and desires. We have developed a questionnaire to help guide advisors' clients to the investment philosophy that best fits their own investment preferences.

Global diversification

To help pursue increased risk-adjusted returns, EAS-E Model portfolios are typically diversified across many dimensions including asset class, company size, value/growth stocks, geographic regions, emerging/developed markets, strategic/tactical investment philosophies, dividend rate, and others.

Institutional money managers

Most of the individual portfolios are managed by third-party money managers who are rigorously screened based on their portfolio's track record, investment methodology, and industry experience.

Staying on track

Accounts are monitored and rebalanced as necessary to help assure an ongoing match between client investments and their objectives.

Transparency

You can see every directly owned security and every trade made in your client's account. Even our fees are transparent. A monthly performance report is provided with an easy to read section that breaks down the EQIS platform fee.

Tax efficiency

Clients Invested in Separately Managed Accounts **can** have direct ownership of the underlying securities. This gives the clients a cost basis and the ability to tax lot harvest. There are no embedded capital gains in an SMA of directly held stocks.

EQIS Client Experience

Our five-step process is designed to provide a disciplined approach for advisors to attain their client goals and create the confidence required to adhere to a their plan through market cycles.

1. **Needs Analysis** - We work with an advisor to review client's current assets, anticipated expenses, goals, and risk preferences.
2. **Portfolio Engineering** - We have created 8 model portfolios with different philosophies, giving advisors the ability to spend their time building and deepening relationships. Our platform technology also helps advisors design diversified asset allocations of institutional-style money managers that are customized to their clients' goals.
3. **Securities Selection** - We have professional money managers with independent, disciplined strategies that select securities for advisors. Plus, advisors have the option to create portfolios according to their clients' conscience and are socially responsible.
4. **Monitoring and Rebalancing** - We review client accounts for advisors to keep current portfolios consistent with the specific target asset allocation.
5. **Ongoing Communication** - A monthly performance report is provided to advisors and clients for convenient portfolio reviews. Similarly, a monthly client summary report helps advisors see trends across their entire book of business.

Our passionate, attentive advisor services team is here to help you with your client account servicing needs or questions. **Welcome to a modern wealth management experience.**



Company Overview

- Total assets in program: Approx. \$2 billion
- Year founded: 2007
- Program is compatible for: RIAs, Registered Reps, FPs
- Money Managers on platform vetted: Yes
- Type of products available: SMAs, UMAs, Mutual Funds, and ETFs



EQIS Management Team



Scott Winters, CEO and Co-Founder

Scott's multi-decade career in financial services has spanned the largest wire house firms to the independent channel. As a top advisor, trainer, and manager of advisors, he continuously rewrote the book on the use of technology by advisors.

In the early 1990s, Scott began increasing efficiency with practice management systems, improving client relations by using customer relationship management (CRM) software, and analyzing investors' costs and asset allocations using a variety of novel technologies.

Scott's vision in founding EQIS was and is to empower advisors with all the resources, guidance, and technology that they need to perfectly serve their clients with the utmost trust, competence, and confidence.

Scott earned a BA in business economics from San Diego State University.



Kenneth Kim, PhD, Chief Economist, Chief Financial Strategist

Ken began his career in finance more than 20 years ago as a research assistant at the PACAP Research Center in Rhode Island. He has worked as a senior financial economist at the U.S. Securities and Exchange Commission, as a consultant for the CFA Institute, as a special consultant for the Securities Litigation Consulting Group, and as an academic consultant for the Kuala Lumpur Stock Exchange.

He is also a highly accomplished finance scholar and professor of financial strategy, investments, portfolio theory, derivative securities, business economics, and financial risk management. He has held academic appointments at 16 different universities around the world and has served on the board of directors of multiple academic organizations.

His research has been widely-published in peer-reviewed journals, and he has been cited or quoted in the likes of the Wall Street Journal, the Financial Times, BusinessWeek, Barron's, The New York Times, and many more. Ken is also a Forbes and Financial Advisor contributing columnist.

[Go to Kenneth Kim, PhD Online Press Kit](#)

He is a frequent speaker at conferences, corporate trainings, and executive development programs. He holds a PhD from the University of Rhode Island, an MBA from the University of Detroit, and a BA from the University of Michigan. Ken also maintains his Series 65 securities license.



Joel Bennett, VP Business Strategy

Joel T. Bennett is a 17-year veteran of the financial services industry. He has worked for T. Rowe Price, JP Morgan Chase, and AssetMark. As a consultant and partner to hundreds of financial advisors, Joel has helped independent advisors raise billions of dollars in assets under management. His key areas of expertise are practice management, client relationship management, business development, and investment strategy. Joel received a BA in finance and economics from Western Michigan University.

Contact Us

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ALL OTHER INQUIRIES CAN BE MADE TO 1.800.949.9936

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