

Portfolios

EQIS provides a managed account solution for advisors. We deliver streamlined and sophisticated investment management strategies and portfolio models based on investor preferences, situations, and objectives.



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Portfolio Models

Our models are built to address a unique investment objective, supported by a professional investment team and a sophisticated risk management process. Whether an investor's risk tolerance is conservative, aggressive, or somewhere in between, you can select a model that suits their needs.

Outsource due diligence, planning options, risk mitigation, and portfolio management so you have more time to build and strengthen client relationships.



Model Construction:

- Consider client risk tolerance, objectives, and situation.
- Optimize asset class weights with focus on risk.
- Allocate across third party managers.
- Monitor and rebalance model.
- Our models span a spectrum of investment philosophies and risk tolerances from strategic to tactical, and conservative to aggressive.

Due Diligence & Selection:

- Comprehensive vetting process and organization of money managers.
- Money manager diversification and blended portfolios may reduce risk without sacrificing returns.
- Deliberate selection of complementary, low correlation portfolios.



UMA Models

Constructed utilizing our proprietary quantitative modeling process complete with rigorous due diligence, capital market allocations, oversight, and rebalancing, the EQIS UMA models are ready to implement.

Dynamic Strategic

Employs a blend of strategic, tactical strategies, and unique hybrid investment strategies. The model allocation is based on the EQIS Capital Market Outlook and allocation process, but includes some money manager strategies that can change asset exposure based on their specific processes and outlooks. Tactical money managers can rotate sectors and asset classes, and/or modify exposure.

Strategic

Offers a more classic allocation of diversified, carefully-vetted sub-advisers selected for core domestic, international equity, and fixed income exposure. It is further diversified by including non-traditional assets such as real estate, commodities, and other alternatives.

Income

Dynamic Sector

Features a blend of strategic asset allocation with tactical sub-advisers that focus primarily on sector rotation strategies. The strategy further focuses on specific sector exposure by explicitly overweighting up to four targeted equity sectors based on long term economic expectations. Tactical money managers can rotate sectors and asset classes, and/or modify exposure.

Dynamic Tactical

Offers an allocation of primarily tactical strategies to populate target allocations, and includes sub-adviser strategies that can dynamically change asset exposure based on their specific processes and outlooks. Tactical money managers can rotate sectors and asset classes, and/or modify exposure.

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[Click here to download our UMA model brochure](#)



ETF Models

With well over 3,000 individual ETFs to choose from, selecting one ETF over another requires practiced due diligence. Asset class selection, optimization, modeling, allocation, rebalancing, and due diligence take considerable time and expertise. The EQIS ETF models have been tailored to investors seeking a streamlined solution to their portfolio needs while taking advantage of ETFs' tax-efficiency and lower cost.

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Strategic Growth

The ETF Strategic Growth model deploys a more classic allocation of strategic ETFs for core domestic and international equity and fixed income exposure.

Strategic Growth + Alternatives

Employs a classic allocation of strategic ETFs for core domestic and international equity and fixed income exposure. It offers a blend of strategic, tactical, and unique hybrid investment strategies.

Dynamic

Constructed and managed in line with the EQIS Capital Market outlook and allocation process, the Dynamic model focuses on downside protection with a cost-effective use of ETFs.

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[Click here to download our ETF model brochure](#)



Advisor Models

Alternately, you can create custom models from our universe of institutional and boutique money managers for individual investors. For any client mandate or market scenario, you can build an appropriate portfolio for it.

Custom models are an option that allow you to design the portfolio personally with the money managers and strategies you feel are best suited for your client.

We empower financial advisers with the strategy, tools, and support you need to expertly manage investors' money. Our concierge-style customer service offers rapid response, strategic counsel, and market intelligence to help you innovate, differentiate, and build your business.

Income

Offers an allocation of primarily income-focused strategies to populate target allocations. The model allocation includes sub-advisor strategies that focus on income. Equity income holdings include large companies that typically generate dividends, as well as exposure in specific sectors and asset categories that have historically generated reliable income.

Strategic Tax-Managed

Offers a concentrated number of institutional sub-advisers chosen for their tax-sensitive mandates and low turnover. Additionally, this new model focuses on national tax exempt and municipal fixed income exposure to further mitigate the impact of taxes. Finally, any rebalancing is performed with a careful determination of risk versus return with an eye toward mitigating the tax impact.

Multi-Asset Income

Offers an allocation of primarily income-focused ETFs to populate target allocations. The model allocation is based on the EQIS Capital Market Outlook and allocation process, but includes ETFs and asset classes focused on income.

Fixed Income Only

Offers an allocation of exclusively fixed income ETFs to populate target allocations and is intended for investors seeking a high level of protection or diversification from equity models.

SCHEDULE A DEMO

Transparency is paramount

EQIS delivers an investment portfolio designed to meet each investor's financial situation and goals. Our industry expertise, technological proficiency, and assiduous oversight work in conjunction with financial advisors to deliver investment strategies and tools designed to meet investor objectives.



Portfolios benefit from:

- Personalized investment guidance
- Professional, coordinated management overseen by the financial advisor
- Global diversification
- Direct ownership of equities
- Transparency
- Income tax efficiency
- Capital gains tax control
- Consolidated online account access
- Portfolio monitoring and rebalancing

Highly scalable approach

We are proud to offer a scalable, institutionalized, and systematic approach to each aspect of the investment process. From dedicated due diligence, asset allocation and capital market research, portfolio management, and portfolio operation specialist teams, the EQIS Investment Team is focused on the investment portfolio so advisors can focus on their clients and their business.

Access EQIS Insights

Discover the EQIS Investment Team's periodic analyses on current market events, financial news, and our outlook on the economy - delivered to your inbox.

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Model Managers

We believe all investors deserve access to institutional and boutique money managers, both strategic and tactical, that are traditionally accessible only to ultra-high net worth individuals and institutions.



High-quality investment strategies

A diversified portfolio handled by multiple institutional money managers can help investors meet their financial objectives.

The utilization of multiple managers can reduce risk and may increase returns in the long run.

Our portfolios are composed of up to 30 carefully selected boutique and institutional money managers who are responsible for the investments in your individual account. EQIS offers access to more than 50 such managers. Other benefits of institutional investing include:

- Aggregated skill and expertise.
- Access to more than 200 curated investment strategies.
- Strategic, tactical, hedged, and even hybrid strategies.



How EQIS selects money managers

Our money managers are heavily vetted through our thorough due diligence process. Each one is



evaluated on longevity, performance, consistency, and repeatability. We also monitor for tenure of management, management responsibility changes, variance in the execution of a strategy, changes in ownership structure, and disaster recovery plans. EQIS demands:



- Institutional quality organization with strong, experienced investment team with low turnover.
- Diversification of client base, including institutional-quality clients.
- Well-articulated and repeatable investment and portfolio construction processes.
- Ability to translate the investment process into execution of strategy.
- Performance and quantitative metrics illustrate execution. Deep understanding of risk and drivers of performance.
- Operational capabilities of the firm, such as robust compliance oversight, IT support, etc.

Money Managers

To partner with EQIS, please initiate our due diligence process here.

[CLICK HERE](#)

Fractional Shares

Every investment firm and advisor is talking about fractional shares lately. What are they, exactly? It's pretty simple: a fractional share is less than one full share of a stock. Rather than a unit of ownership measured by whole shares, it is measured by dollar amounts.



Where do Fractional Shares Come From?

There are several ways a stock can be fractionalized:

- During a stock split, if shares cannot be split evenly
- During company mergers, combined stock values may result in some fractional shares
- Dividend reinvestment programs
- Some financial institutions offer their clients the option to purchase fractional shares

EQIS has been leveraging the power of fractional shares technology for over a decade.

By trading in dollar amounts rather than share quantities, EQIS investors own individual securities in the percentages and ratios recommended by our money managers.

This permits broad diversification across equity styles, asset classes, geographic regions, and philosophies with a smaller portion of the assets normally required to create the same portfolio in whole shares.

EQIS's fractional share technology allows accounts to benefit from a diversified allocation from multiple institutional and boutique money managers with a low account minimum.

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The Benefits of Fractional Shares

The primary benefit is simple. Fractional shares enable ownership of stock that may otherwise be too costly for the investor to access. For example, one share of the fictional ABC Company costs \$5,000. But with fractional shares, an investor can own \$100 of ABC Company stock, or just 2% of a share.



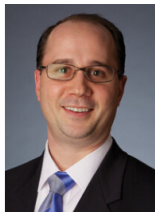
On the EQIS Investment Platform:

- Individual investors don't need to worry about meeting money manager minimums.
- The integrity of portfolio construction is not compromised due to money manager minimum requirements
- Fractional share technology enables accounts with \$25,000 or more to have a diversified, multi-manager allocation without regard for the normal manager-direct account minimums.

[Click here to download our Fractional Shares brochure](#)

The EQIS Investment Team

Our team of experienced professionals delivers full-service solutions



Jonathan Shiffer
Chief Investment Officer

Jonathan Shiffer brings over 21 years of industry, portfolio management, and asset allocation experience to EQIS. Before joining EQIS, Jonathan was founder and Chief Investment Officer of Journey Capital Advisers, a multi-asset class investment management company. He was Head of Portfolio Management with Jackson

National & Curian Capital LLC, managing in excess of \$22 billion. Previously, Jonathan was Chief Investment Officer of a multi-billion-dollar institutional investment management firm in Dallas, TX. Jonathan holds a Master of Business Administration from the University of Texas at Dallas, with additional studies toward a PhD. With Jonathan's experience in managing direct investment strategies, platforms and asset allocation funds, he is an expert in capital management.



Kenneth Kim, PhD
Chief Economist

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.



Marc van Rijssen
VP, Head of Trading

Marc has been working in the financial services industry since 1999. He earned his BA in mathematics from Hobart College, and holds the FINRA Series 7, 24, 55, and 63 securities licenses. Marc has progressive experience in broker/dealer and trading operations within start-ups and multi-billion dollar organizations.

He has demonstrated ability to streamline business operations that drive growth and increase efficiency. He has strong qualifications in developing and implementing controls and processes in addition to productivity improvements and change management. He possesses solid leadership communication and interpersonal skills to establish rapport with all levels of staff and management. Marc was previously a VP, Head Trader at Curian Capital where he oversaw all aspects of trading.



Rob Gee, CFA
Senior Investment Analyst

Rob has been in the industry for nine years. Prior to joining EQIS in 2019, he worked at ALPS Advisors in ETF Research and Development. At ALPS he was responsible for the coverage of midstream energy companies for the AMLP ETF and technology companies for the disruptive technology ETF DTEC. Before working for ALPS,

Rob was a research analyst on the portfolio management team at Jackson National Life. Rob has experience working in portfolio construction, portfolio optimization, risk analysis, and developing capital market outlooks. Rob holds an undergraduate degree in Accounting and Finance from the University of Colorado Denver and is pursuing an applied computer science degree at the University of Colorado Boulder. Rob holds the Chartered Financial Analyst designation.

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