



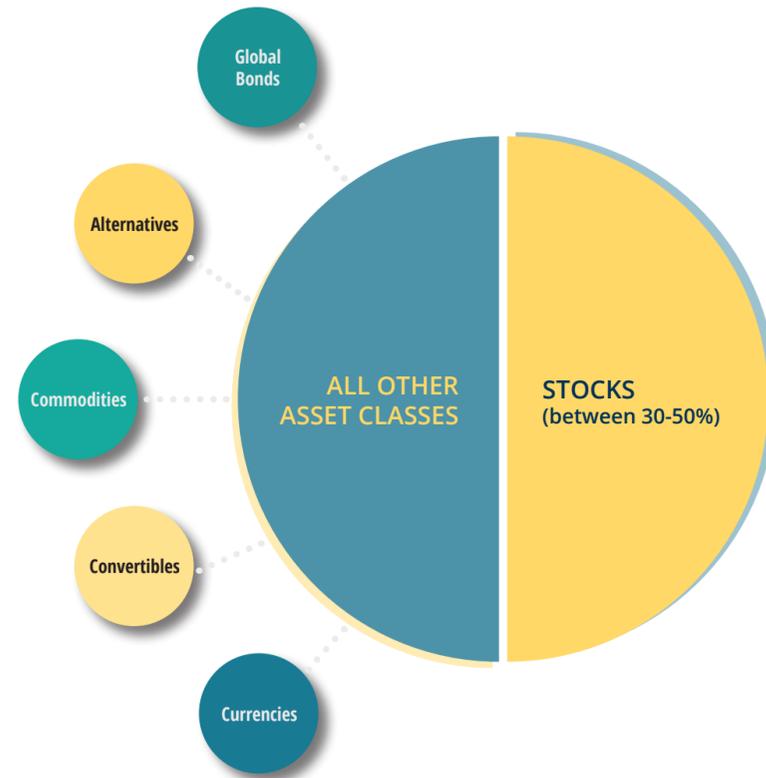
# Ocean Park Moderate Allocation Strategy

## Moderate Allocation Strategy

The Moderate Allocation strategy may provide enhanced growth with increased global stock exposure.

- › May be ideal for investors who prefer moderate growth
- › Sources of growth are selected from a wide variety of asset classes, and moderate exposure to global stocks (between 30-50%)

When the price of a holding hits its trailing-stop level, the security is sold and the proceeds are held in cash. **Cash** is our *last resort*, and the byproduct of our truly tactical, rules-based sell discipline.



Allocations and holdings are subject to change at any time. For illustrative purposes only. Not intended to be an accurate representation of what the strategies allocations will look like.

## Solutions Engineered for Different Risk Tolerances

### TYPES OF RISK TOLERANCE

Conservative Growth Investor



Lower Risk Portfolio  
More bonds, less stocks

Moderate Investor



Balanced Risk Portfolio  
Equal stocks and bonds

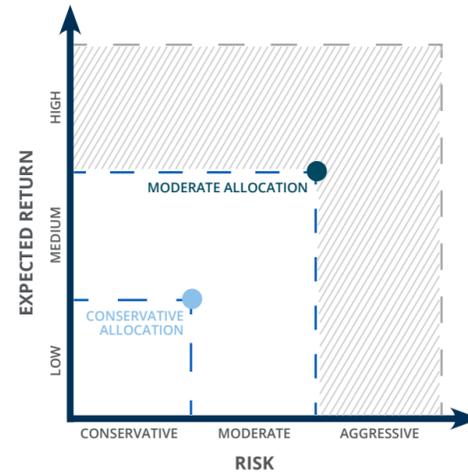
Moderate Growth Investor



Higher Risk Portfolio  
More stocks, less bonds

We strive to provide risk management across Moderate and Conservative investments.

- › Globally Unconstrained
- › Broadly Diversified
- › Tactically Managed



### The Tradeoff Between Risk and Reward

As investors take on more investment risk, the likelihood of greater investment losses, or conversely, investment gains, increases.

Allocations and holdings are subject to change at any time. For illustrative purposes only. Target returns are not guaranteed, and actual results may differ materially.

#### 1 Goal: Limit Downside Risk

For simplicity, we define downside risk as the effect that short or long-term market declines have on your account. Wealth-destroying market declines can dramatically alter an investor's time horizon and goals. Our primary objective is to distance your account from such devastating market declines.

#### 2 Goal: Produce Satisfying, Long-Term Investment Results

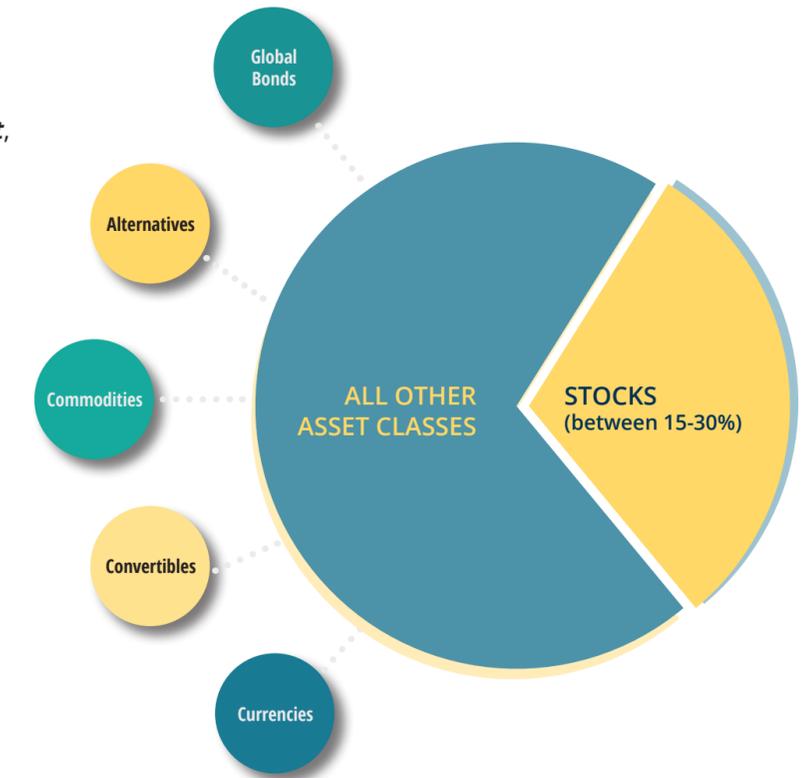
Investing isn't a sprint, it's a marathon. As cliché as that may sound, we embrace the mantra and aspire to achieve long-term investment results that a moderate or conservative investor would accept as satisfying.

## Conservative Allocation Strategy

For more than 25 years, the Conservative Allocation strategy has provided investors a globally diversified investment solution.

- › May be ideal for investors who prefer conservative growth
- › Sources of growth are selected from a wide variety of asset classes, and small exposure to global stocks (between 15-30%)

When the price of a holding hits its trailing-stop level, the security is sold and the proceeds are held in cash. **Cash** is our *last resort*, and the byproduct of our truly tactical, rules-based sell discipline.



Allocations and holdings are subject to change at any time. For illustrative purposes only. Not intended to be an accurate representation of what the strategies allocations will look like.

# A Legacy Built Upon Risk Management

## A Time-tested, Quantitative, Rules-based Approach

Our investment management style was created from an identified gap in the marketplace – strategies managed tactically with integrated, disciplined, risk management. The result was a total return approach with the primary goal of keeping our clients out of trouble.

Our commitment to managing the assets of investors has spanned more than 30 years. We've been able to accomplish this by focusing on the client experience and managing assets with a simple set of investment goals, which have guided each investment decision that our firm has made over time.

Decades ago, we developed a set of investment disciplines to help accomplish these investment goals. These disciplines are tactical, rules-based, and are driven by mathematics (quantitative), and have not been altered in the more than 30-year history of our firm. We believe that we have engineered a set of investments that can help keep you comfortably invested while delivering upon your long-term investment goals.

## Meet the Investment Team

The team is led by the co-founders and co-creators of our investment disciplines. Together, the team shares more than 120 years of investment management experience.



**Kenneth L. Sleeper, MBA, PhD**  
*Co-Founder, Co-Managing Director  
Portfolio Manager*



**David C. Wright, JD**  
*Co-Founder, Co-Managing Director  
Portfolio Manager*



**Doug Loeffler, CFA, CAIA**  
*Executive Vice President  
of Investment, Portfolio Manager*



**Marshall Quan**  
*Senior Research Analyst  
Portfolio Manager*



**Yanni Dalkos, MSQE**  
*Research & Data Analyst*



**Henry Reid**  
*Portfolio Reporting Administrator*

Ocean Park Asset Management, Inc. ("Ocean Park") is an SEC-registered investment adviser. Registration does not imply a certain level of skill or training. For information pertaining to the registration status of Ocean Park, please call (844) 727-1813 or refer to the Investment Adviser Public Disclosure website ([adviserinfo.sec.gov](http://adviserinfo.sec.gov)).

**FOR MARKETING PURPOSES ONLY.**

This material should not be relied upon as investment advice.

©2022 Ocean Park Asset Management, Inc.  
All rights reserved.

National Sales Desk  
(844) 727-1813

[oceanparkam.com](http://oceanparkam.com)

## INVESTMENT STRATEGY & OBJECTIVES

The Ocean Park Moderate Allocation Strategy has two investment objectives: to provide long-term total return and to help limit volatility and downside risk. The Strategy's multi-asset diversification strategy employs broad diversification across equity and fixed income asset classes, markets, industries, and issuers. A passive "buy and hold" strategy is not employed. The overall asset allocation of the Strategy is tactical, not fixed. It can and does change significantly over time, re-allocating the Strategy in response to trend changes in the U.S. and global investment markets. As part of Ocean Park's proprietary integrated risk-management methodology, the Strategy monitors each underlying holding daily, applying a proprietary trailing stop methodology to each holding (other than the affiliated funds, which employ the same methodology internally) to help limit the impact of any further decline in that holding on the overall Strategy.

The Ocean Park Conservative Allocation Strategy has two investment objectives: to provide long-term total return and to help limit volatility and downside risk. The Strategy's multi-asset diversification strategy employs unusually broad diversification across asset classes, markets, industries, and issuers. A passive "buy and hold" strategy is not employed. The overall asset allocation of the Strategy is tactical, not fixed. It can and does change significantly over time, reallocating the Strategy in response to trend changes in the U.S. and global investment markets.