**MODEL STRATEGY AND MANAGER PROFILE FORM**

**SECTION 1 - MODEL STRATEGY**

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| 1. **STRATEGY OVERVIEW** |  |
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| Summarize the strategy of your model.  *Please make reference to boxes (D) to (I) below when describing your model.* | |
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| 1. **FUND SIZE** |  |
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| How many assets are currently invested using this strategy (including your own assets)? | |
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| 1. **FUND HISTORY** |  |
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| How long have you been utilizing this strategy? | |
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| 1. **INVESTMENT APPROACH** |  |
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| Describe your investment approach including principles and investment guidelines (eg. Fundamental vs Quantitative, Value vs Growth, Macro, Momentum etc).  *What proportion of this model’s trades are designed to pursue tactical short term trading opportunities?*  *What proportion of this models expected return will be generated from short term trading vs. longer term allocation?* | |
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| 1. **RESEARCH METHODOLOGY** |  |
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| Explain your research methodology.  *Explain how much input do quantitative and fundamental research methods will have on your investment decisions.*  *Describe your sources.*   * *Market data sources (prices, statistics, analytical tools).* * *Investment ideas and views.*   *Describe your screening approach and criteria.*   * *How many screening criteria do you use? Which ones?* * *Will any criterion carry more weight than others?* * *Provide a few examples of screening criteria.* | |
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| 1. **ALLOCATION DISCIPLINE** |  |
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| Describe your allocation discipline.  *Will the model own ADRs, inverse or leverage ETFs, ETNs, closed-end funds, reverse merger stocks?*  *Explain your approach to diversification and allocation of securities within your portfolio. How will you manage concentration in the model (per security, sector, market cap, region, etc.)?*  *Number of holdings: please indicate a range, as well as the reasons that would make the model be invested at either end of that range.*  *Percentage invested: please indicate what percentage of the model will be invested at all times, as well as how this percentage is likely to fluctuate. How often (if at all) will the model be 100% in cash and fully invested?*  *What is the expected number of trades per month and how might this vary in different market condition?*  *Describe your rebalancing policy in as much detail as possible (frequency, triggers, etc.)?* | |
| *Do you benchmark your asset allocation (in terms of geography, market cap, concentration, etc.) against existing benchmarks? Which ones?* | |

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| 1. **SELL DISCIPLINE** |  |
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| Describe your process for closing positions.  *Explain how you determine when to close a position whether based on rules or other factors.* | |
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| 1. **RISK AND RISK MANAGEMENT** |  |
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| Describe your process for managing risk. | |
| *Quantify the expected level of risk in the model.*  *What is the model’s expected volatility, as a percentage of the volatility of the S&P 500? (e.g., the model will target a volatility equivalent to 50% the volatility of the S&P 500 at all times)*  *Which other risk metric(s) will you use to assess risk?*  *Are there limits on losses at the model and security level?*  *Will the model be hedged? Describe in detail how hedging will be implemented (instruments used, level of hedging, etc.)* | |
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| 1. **EXCEPTIONS** |  |
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| Describe any exceptions to the strategy. | |
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| 1. **MISCELLANEOUS INFORMATION** |  |
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| Use this space to tell us anything else relevant not covered above. Also, include any distinguishing factors which help differentiate your strategy. | |
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**SECTION 2 – MANAGER PROFILE**

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| 1. **COMPANY INFORMATION** |  |

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| Company Name \* | Short Display Name  (max 20 chars when site space limited) |
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| --- | --- | --- | --- |
| Address Line 1 | | Address Line 2 | |
|  | |  | |
| City | State | Country | Zip |
|  |  |  |  |
| Year Founded | No of Employees |  | |
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\* Your Covestor.com profile’s URL (if not already taken) will be <http://covestor.com/company-name> (all words will be split by hyphens)

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| **(B) PROFILE SUMMARY** |  |
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| Provide a little information about the firm and its qualifications for managing a model.  *State any relevant qualities, accomplishments or awards.* | |
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| **(C) INVESTMENT PROCESS** |  |
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| Describe the firm’s investment process.  *Categorize your approach (e.g. top-down, bottom-up, technical, fundamental), any investment focus (e.g. region, industry, market cap) and other important factors.* | |
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| **(D) FIRM HISTORY** |  |
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| Tell us a little about your firm’s history. | |
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**SECTION 3 – MANAGER PROFILE FOR FIRMS** (continued)

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| **(E) INVESTMENT TEAM** | |  | |
| Investment Team Member | Qualifications | | Short Biography |
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| **(F) INVESTMENT TEAM RESUMES** |  |
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| Please attach resumes for your investment team members or paste them in this box. | |
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| **(F) LINKS FOR SHOWCASING YOUR PROMOTIONAL MEDIA** | | |
| Provide URLs to your websites, blogs, newsletters, books, etc. along with a short description to appear in the main body of your Profile. | | |
| Site | Description. No more than 100 words | URL |
| Website |  |  |
| Blog |  |  |
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| **(G) OTHER RELEVANT EXTERNAL LINKS** | |  |
| Provide URLs to your profiles on social networks or articles in the media to appear in your Profile’s sidebar. | | |
| Facebook |  | |
| LinkedIn |  | |
| Twitter |  | |
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| 1. **MISCELLANEOUS INFORMATION** |  |
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| Use this space to tell us anything else relevant not covered above. Include your general views on the markets, and include any distinguishing factors which helps tell your unique story. | |
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| **(J) COMPANY LOGO AND HEADSHOT PHOTOGRAPHS** |  |
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| Please email a high-res company logo and headshot photo of all investment team members to [managerrelations@covestor.com](mailto:managerrelations@covestor.com).  Each image should be at least 600 \* 600 pixels. | |
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|  | Covestor Reference \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |