

## ETF Collateral Guide

- Cornerstones and Convictions
- Factor Investing
- Income Investing
- Alternative Investing

**Tickers, Fund and Company  
names have been blurred out for  
competitive and compliance  
purposes**

## Current collateral summary

	Description	Parameters
<b>Fact Cards</b>	Quarterly overview providing details on performance and portfolio holdings/characteristics	Produced for each fund at first quarter-end following launch
<b>Fund in Focus</b>	Overview of funds basic selling points combined with timely positioning points	<ul style="list-style-type: none"> <li>■ On the C2 list</li> <li>■ \$500M or &gt; in assets</li> <li>■ As warranted for specific channel opportunities</li> </ul>
<b>Tale of the Tapes</b>	Data comparison vs competitive funds	Produced for 10 funds demonstrating <b>relative</b> outperformance and strong ratings
<b>Brochures</b>	Primarily an overview of funds included in a product category	Supports strategy or product category
<b>PPTs</b>	Primarily advisor level content on strategy or product category	Supports strategy or product category
<b>White Papers</b>	Product agnostic, research driven content	As produced by research team
<b>Sales Ideas</b>	Timely pieces focused on a specific aspect of a fund or opportunity given specific macroeconomic factors	<ul style="list-style-type: none"> <li>■ On the C2 list</li> <li>■ \$500M or &gt; in assets</li> <li>■ Opportunities presented to review committee for assessment</li> </ul>
<b>Performance Flyers</b>	Data-centric flyers generally comparing fund/underlying index vs competitive funds/indexes	Produced for fund suites that are a firm focus
<b>Reprints</b>		<ul style="list-style-type: none"> <li>■ Features a C2 product or PS is the focus of the article</li> <li>■ Supports firm leadership or key initiatives</li> </ul>
<b>Attribution Reports</b>	Data-centric with some high level portfolio and market commentary	Created for funds with institutional -level clients or prospects

Factor Investing: Think outside the style box

- Factor strategy page
- Smart beta research page
- Do you know what's in your low volatility strategy?
- Low volatility strategy page

Print










	Fund	Fund in Focus	Fact Sheet	Tale of the Tape
Low Volatility		P- V-FIF-1	P-S V-PC-1	P- TOT-1
		P-S V-PC-FIF-1	P- V-PC-1	
		P-S V-PC-FIF-1	P- V-PC-1	
		P- V-FIF-1	V-PC-1	P- TOT-1-E
			V-PC-1-E	P- TOT-1-E
		P- V-FIF-1-E*	V-PC-1-E	
			U-PC-1-E	
			P-PC-1-E	
			P-PC-1-E	
Dividend Yield		P-S V-FIF-1	ID-PC-1-E	P- D-TOT-1-E
Quality		P- Q-FIF-1	IQ-PC-1	
			P- PC-1-E	


\* Fund in Focus will be available for the 1Q2017 update




## Factor Investing: Think outside the style box

Print (continued)


	Fund	Fund in Focus	Fact Sheet	Tale of the Tape
Momentum		P-  -FIF-1*	P-  -PC-1-E	
			P-  -PC-1-E	
			P-  -PC-1-E	
Value		P-  -FIF-1*	P-  -PC-1	
High Beta				

\*  Fund in Focus will be available for the 1Q2017 update

\*  Fund in Focus will be available for the 4Q2016 update


### Additional collateral

- Decode the DNA of Factor Investing (Presentation) **P-SBFACT-PPT-1**
- Low Volatility: Exploring the Anomaly (Presentation) **P-LOWVL-PPT-1**
- Factor Investing: Think Outside the Style Box (Postcard/leave behind) **P-FACTOR-MLR-1**
- Is the Low Volatility Factor Expensive? (Whitepaper) **P-/VAL-FLY-1** (available Q12017)  

- Examining Low Volatility's Performance in Various Market Environments (Blog post reprint) **P-SRATE-BLOG-1**
- What Advisors Need to Know About Factor-Based ETFs (Reprint) **P-FCTRBETF-AD-1** (available Q42016)
- A Compelling Combination: Why Advisors Are Pairing Value and Low-Volatility Factors (Reprint) **P-VALLV-AD-1**
- Factor Suite Overview (Brochure) TBD
-  Rebalance Flyer (Flyer) **P-SRB-FLY-1**  

- Low Volatility Index and Fund Performance Recap: Domestic (Flyer) **P-LVOLDOM-FLY-1**  

- Low Volatility Index and Fund Performance Recap: Int'l (Flyer) **P-LVOLINTL-FLY-1**  

- Smart Beta Investing: Strategic Balanced Portfolios (Hypos) (Brochure) **P-PO-QTR-1**  

- Getting Smart About Beta (White paper) **APSB-WP-1**
- Systematic Rebalancing: A Key Component of Smart Beta Investing (Research paper) **P-SBREBAL-WP-1**

# Income

- [Quest for Income Strategy Page](#)
- [Income Allocations](#)
- [Duration / yield graph](#)

Print

	Fund	Fund in Focus	Fact Sheet	Tale of the Tape
High Yield Corporate / Bank Loan	P-1	P-1-N-FIF-1	P-1-N-PC-1	
	P-2	P-2-B-FIF-1	P-2-B-PC-1	P-2-TOT-1-E
	P-3		P-3-PC-1-PC-1-E	
International	P-4	P-4-FIF-1	P-4-PC-1	P-4-TOT-1-E
	P-5		P-5-PC-1-PC-1-E	
	P-6		P-6-PC-1	
Investment Grade Corporate	P-7	P-7-FIF-1	P-7-G-PC-1	
	P-8		P-8-PC-1-PC-1-E	
	P-9		P-9-PC-1	
Municipals / Governments	P-10	P-10-FIF-1-E*	P-10-PC-1	
	P-11	P-11-FIF-1-E*	P-11-PC-1-E	
	P-12		P-12-PC-1-E	

- \* Fund in Focus will be available in 1Q2017
- \* Fund in Focus will be available in 1Q2017

# Income

Print (continued)

	Fund	Fund in Focus	Fact Sheet	Tale of the Tape
Municipals / Governments (continued)			P-PC-1-E	
			P-PC-1-E	
		P-FIF-1	P-PC-1-E	
Multi-Asset		P-N-FIF-1	P-N-PC-1	
Preferreds		P-FIF-1	P-PC-1	P-TOT-1-E
		P-FIF-1	P-PC-1	
		P-FIF-1	P-PC-1	P-TOT-1-E
Equity Income	D		P-D-PC-1-E	
	Y		P-Y-PC-1-E	
		P-FIF-1	P-PC-1	
		P-D-FIF-1	P-S-D-PC-1	P-D-TOT-1-E
		P-D-FIF-1	P-D-PC-1*	

\* Fact sheets will be available for the 4Q2016 update

## Alternatives

- [Access Commodities web page](#)
- [K-1 Resource Center](#)

Print

	Fund	Fund in Focus	Fact Sheet
Commodities		P- FIF-1	P- PC-1-E
			P- PC-1-E
		P- FIF-1	P- PC-1
			P- PC-1-E
			P- PC-1-E
			P- PC-1-E
			P- PC-1-E
			P- PC-1-E
		P- C-FIF1	P- C-PC-1
			P- PC-1-E
Currency			P- N-PC-1-E
			P- UP-PC-1-E
			P- T-PC-1-E
Global Macro			



### Questions:

#### Important Disclosure

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