

# Inside the Investment Portfolios at Soltis

2021 Annual Soltis Client Appreciation and  
Wealth Management Event

September 16, 2021



**SOLTIS**  
Investment Advisors

Aligned with purpose.



Soltis Investment Advisors is proud to be among the first investment advisors globally to successfully complete the independent certification process of CEFEX, Centre for Fiduciary Excellence. CEFEX certification independently analyzes the trustworthiness and best practice processes of investment fiduciaries.

# Awake and Ascend to New Heights

"In the middle of every difficulty lies opportunity."

Albert Einstein

"Obstacles are those frightful things you see when you take your eyes off your goals."

Henry Ford

# Soltis Team



**T.J. Adams, CFP®**  
Senior Advisor



**Hal Anderson**  
Managing Partner/  
Chair, BOM



**Jacob Anderson**  
Advisor



**Kim D. Anderson, AIF®**  
Managing Partner,  
President, CEO



**Nancy Bailey**  
Client Relationship  
Manager



**Taylor Beckwith**  
Advisor



**Christie Behunin, CEP®**  
Managing Partner,  
Senior Advisor



**Matt Brann**  
Managing Director of  
Strategic Partnerships



**Rebecca Briesmaster**  
Client Relationship Manager



**Ammon Christensen**  
Investment Associate



**Syd Cottle**  
Client Relationship  
Manager



**Abbey DeMille**  
Service Specialist/  
Receptionist



**Mardie Dotseth**  
Lead Advisor



**Stacy Easton**  
Client Relationship  
Manager



**Ryan Ennis, QKA  
CPFA**  
Senior Advisor



**Michael Espinosa,  
CFP®**  
Retirement Advisor



**Tyler Finlinson, CIMA®**  
Managing Partner,  
Retirement Plan Services



**Seth Ford**  
Retirement Advisor



**Tyson Gillies**  
Retirement Advisor



**Lon E. Henderson**  
Chairman of the  
Board/Founder



**Kelli Holmstead**  
Director of Operations



**Jill Homer**  
Analyst



**Ryan Hoppie**  
Service Specialist/  
Receptionist



**Spencer Humphrey,  
CRPC®**  
Senior Advisor



**Hunter Johnson**  
Investment Associate



**Paul Jude, CWS®**  
Senior Advisor



**Ben Justice**  
Senior Advisor



**Sharon Kendall**  
Director, Customer Care



**Jody Kimball**  
Client Relationship  
Manager



**Kannon Kint**  
Client Relationship  
Manager



**K. Lynn Kittrell,  
CFP®**  
Senior Advisor



**Glenn Koehl, CFP®**  
Senior Advisor



**Cole Loveland**  
Operations/Systems  
Specialist



**Joyce Madsen**  
Executive Assistant



**Aubrey Meyer**  
Administrative  
Assistant



**Brent Moore, CIMA®**  
Managing Partner, Director  
of Business Development



**Tucker Morin, CFP®**  
Retirement Advisor



**Jason Rasmussen, CFP®**  
Senior Advisor



**Crystal Schmutz**  
Finance Specialist



**Terry Schraeder**  
Client Relationship  
Manager



**Clark Taylor, CFP®**  
Managing Partner, Wealth  
Management



**Dave Tippets**  
Senior Vice President &  
Chief Growth Officer



**Bill Wallace, CFA®**  
Chief Investment  
Officer



**Tyler Wilkinson**  
Managing Partner,  
CFO, CCO



**Jedd Wilson**  
Senior Advisor



**Cody Wiseman**  
Senior Advisor



**Jessica Wong, AFC®**  
Client Relationship  
Manager



**Shawn Woods, CFA®**  
Director of Investment  
Research

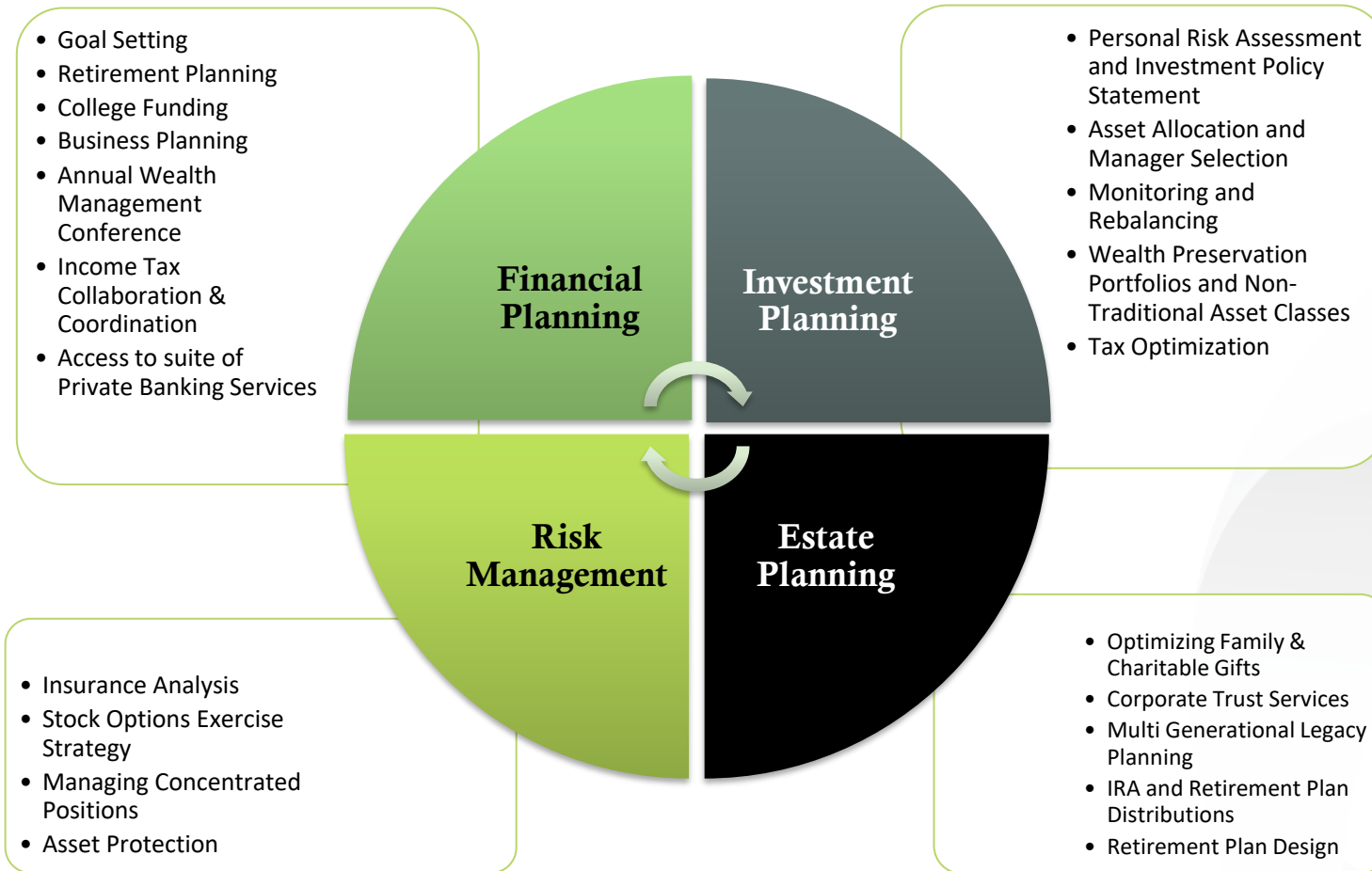


**Tara Wright**  
Operations Specialist



**Annette Young**  
Executive Assistant

# Summary of Soltis Wealth Management Services



# Representative Soltis Service Team



**Sharon Kendall**  
Client Relationship  
Manager

The Client Relationship Managers are focused on assisting the Senior Advisors with the overall relationship management of the client. As the primary contacts for day-to-day service and operational needs, the main goal of the Client Relationship Manager is to deliver exceptional client service and be available to assist with any aspect of the clients' accounts or put them in contact with the appropriate resources at Soltis. On a regular basis the Client Service Manager is available to assist service items that ensure each client receives a high level of service with the firm.



**Tyson Gillies**  
Analyst/Advisor

The Soltis Analyst also plays an important role at the firm. Under the direction of the Senior Advisor, the analysts assist with preparing client reviews, financial plans, and conducting additional research as requested. The Analyst is available as an additional resource for assisting clients with anything they might need.



**Christie Behunin**  
Senior Advisor

The Senior Advisors are focused on overseeing each client relationship from the initial implementation of the client service plan throughout their experience at Soltis. As the lead advisor, the Senior Advisor conducts ongoing portfolio reviews where the clients not only review their account performance, but also define their goals and ensure their progress in tracking toward these goals. The Senior Advisors ensure that each client receives a high level of service and has an overall positive experience with the firm.



**Clark V. Taylor**  
Partner, Wealth  
Management Services

Responsible for the overall Wealth Management Division and the services provided to the client. The divisional Vice Presidents work closely with the Senior Advisors to ensure exceptional proactive client service. Also works closely with the firm's Board of Managers to form strategic initiatives for the firm and ensure Compliance with SEC and other Fiduciary Compliance requirements.



**Bill Wallace**  
CIO

Chairman of the Investment Committee responsible for the investment manager research, asset allocation studies, portfolio monitoring and performance measurement, and investment themes for the management of the portfolios. Responsible for the due diligence of investment options and monitors and evaluates mutual funds, separate accounts managers and alternative investments for use in current and prospective clients.

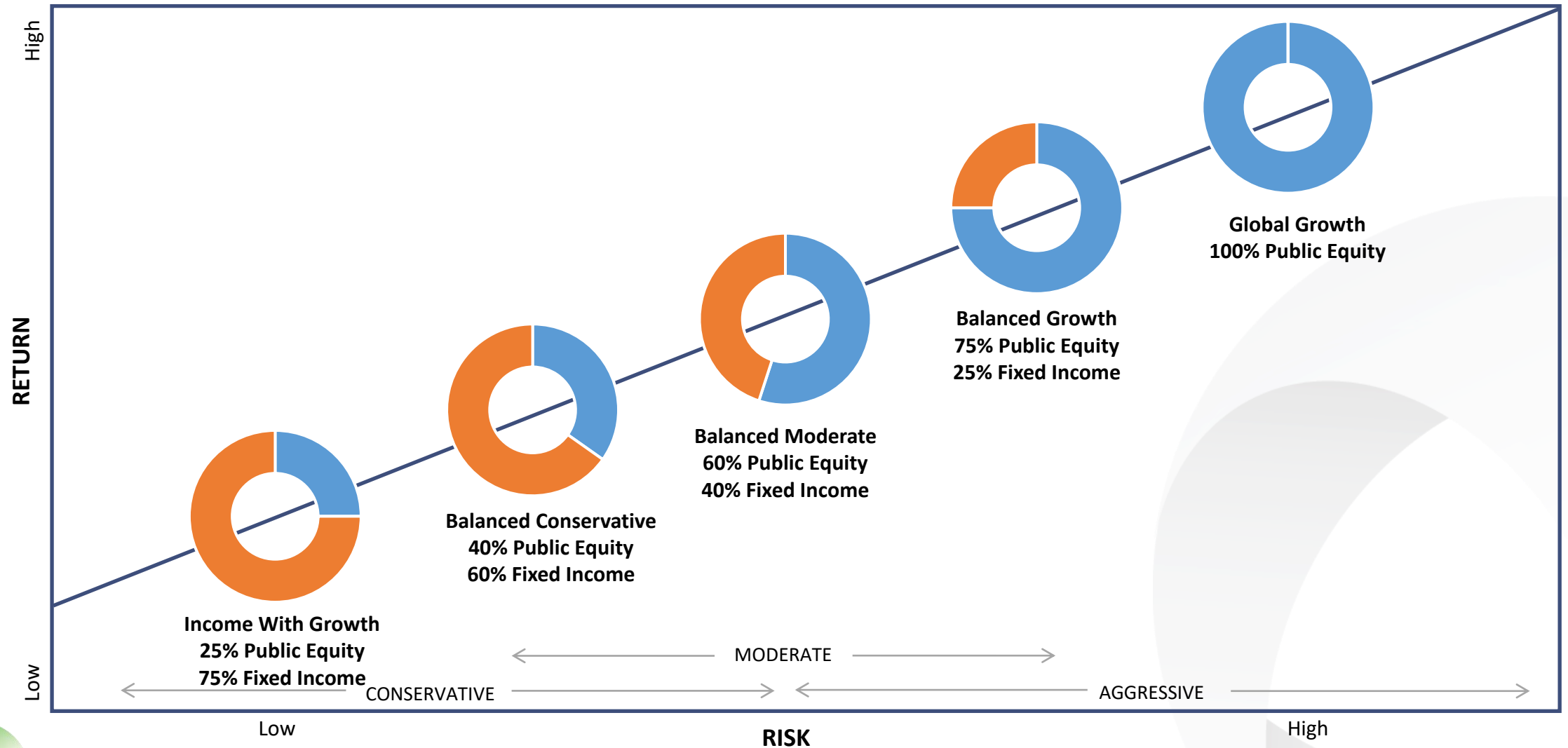


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# Portfolio Construction

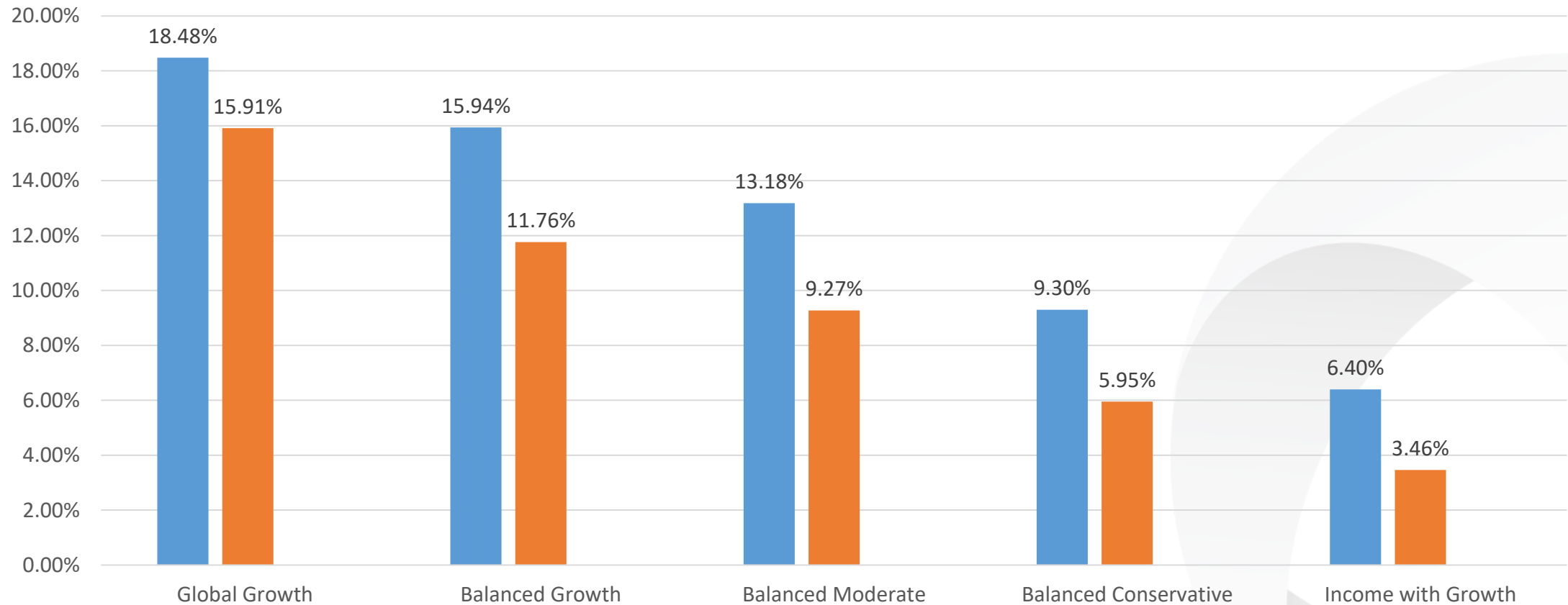
Soltis Investment Management Discipline

# Soltis Traditional Core Portfolios



# Soltis Core Model Performance YTD

12-31-2020 to 8-31-2021

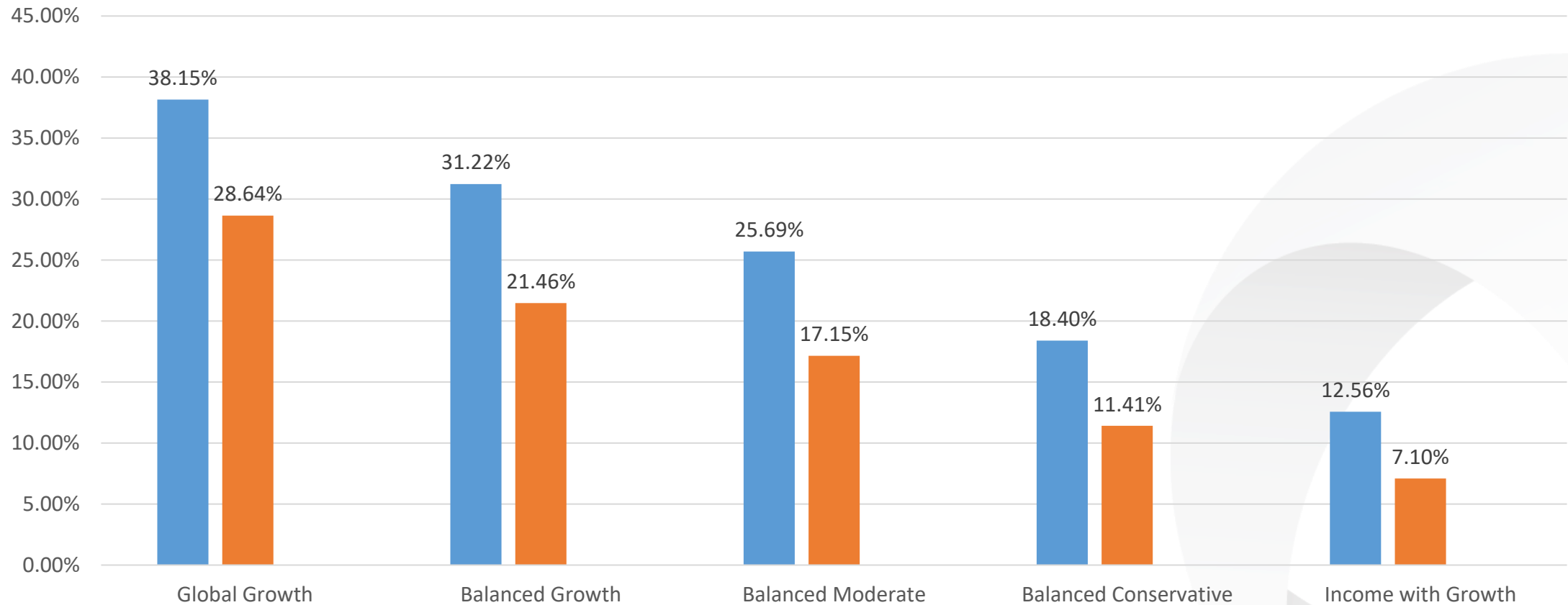


**Performance Disclosure:** Returns over the respective time periods are Time Weighted Returns (TWR), Gross of Fees. Past performance may not be indicative of future results. Therefore, no existing or prospective client should assume that future performance of any specific investment or investment strategy (including the investments or investment strategies recommended by Soltis), will be profitable or equal any historical performance level. Data for managers and indices provided by Orion. Weighted Index Performance is based on a weighting of the Barclays Aggregate Bond Index and the MSCI All Cap World Index. GG is compared to 100% MSCI ACWI. BG is compared to 75% MSCI ACWI, 25% BarCap Agg, BM 60% MSCI ACWI, 40% BarCap Agg, BC 40% MSCI ACWI and 60% BarCap Agg, IWG 25% MSCI ACWI and 75% BarCap Agg.



# Soltis Core Model Performance: One Year

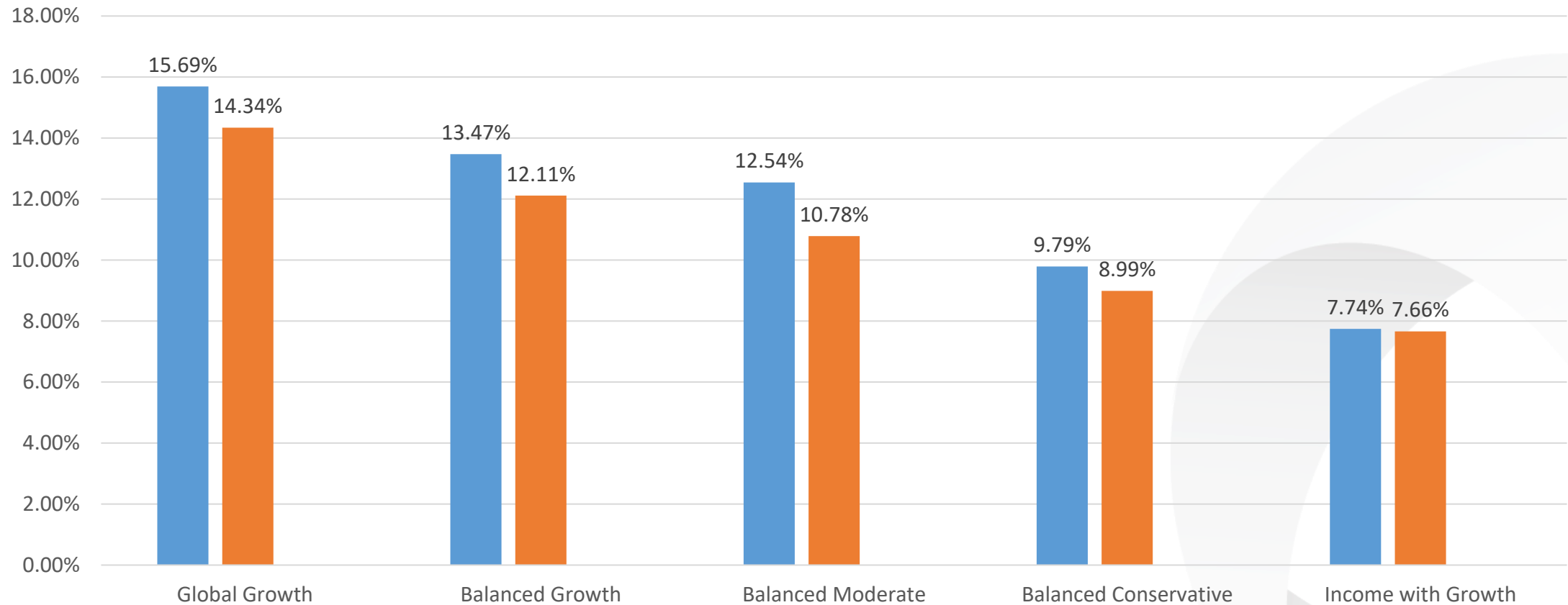
9-1-2020 to 8-31-2021



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# Soltis Core Model Performance: 3 Yr.

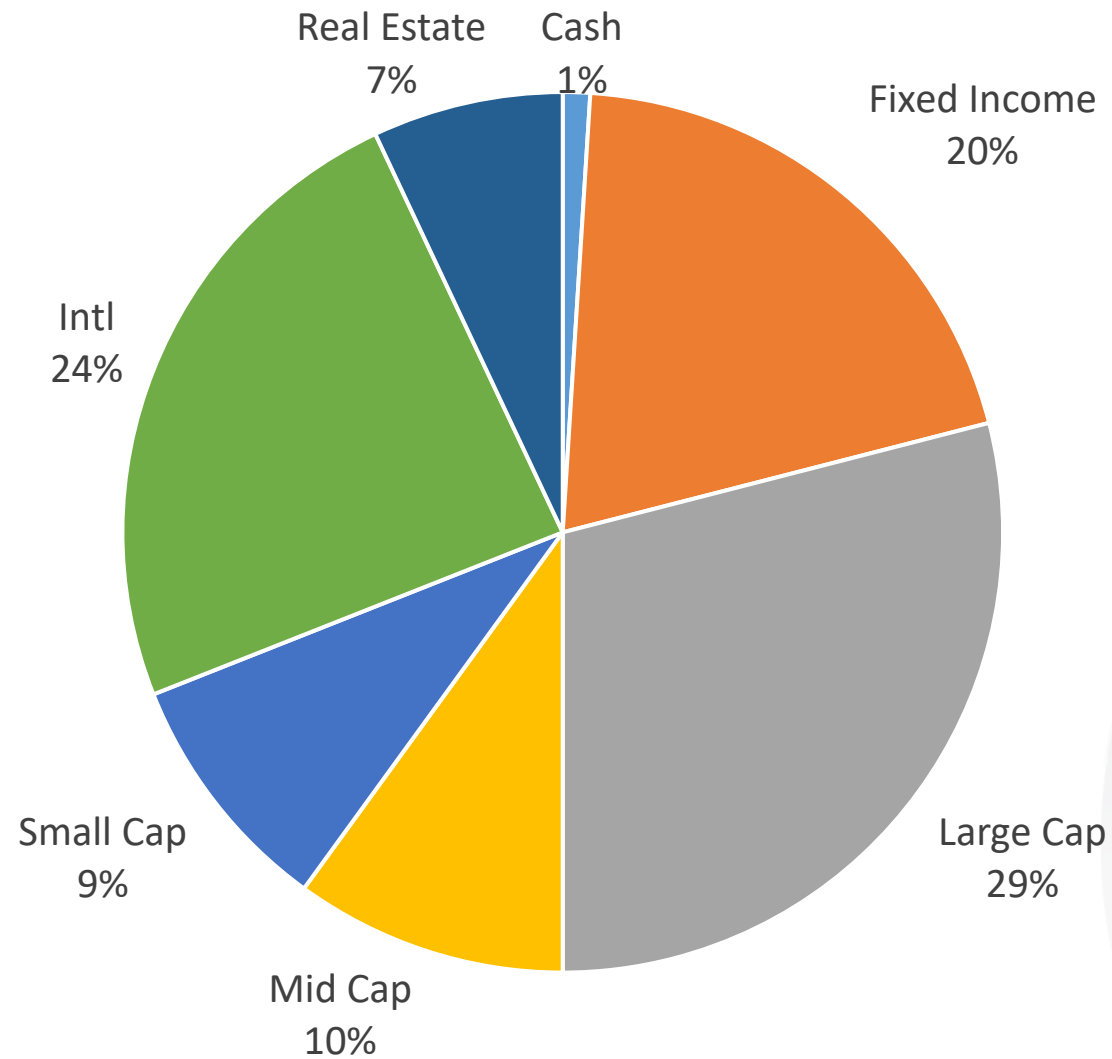
9-1-2018 to 8-31-2021



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# Balanced Growth Portfolio





# Soltis “Bolt-On” Strategies

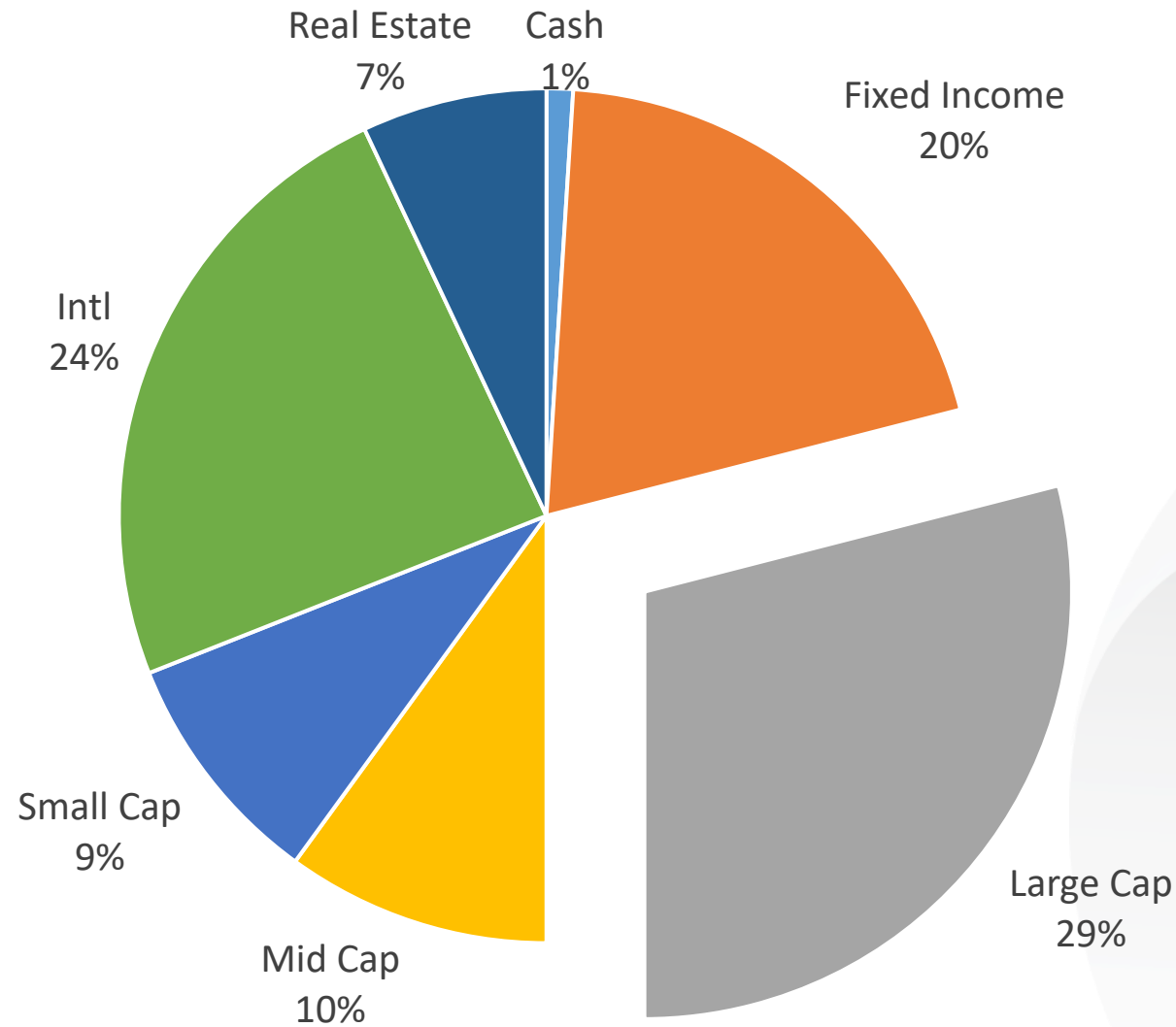
# Soltis “Bolt-On” Objectives

- Offer Clients additional customization but still be able to operate efficiently with scale
- Provide additional tools for Soltis Team members to better achieve client goals and objectives
- Allow for the use of individual securities in portfolios
- Provide access to additional asset classes beyond traditional public markets and traditional fixed income (bond) markets
- Take Advantage of an evolving investment marketplace and democratization of alternative investments
- Provide Opportunities to hedge against market downside

# Soltis “Bolt-On” Strategies

- **Increased Yield:** Soltis Equity Income Stock Portfolio
- **Enhanced Growth:** Soltis Growth Stock Portfolio
- **Market Participation with a Downside Hedge:**
  - Soltis Hedged Equity Portfolio
  - Structured Notes
- **Access to Digital Assets:** Soltis Digital Asset Portfolio
- **Sector and Factor Rotation:** Soltis Dynamic Sector ETF strategy.

# Balanced Growth Large Cap



# Soltis Equity Income Stock Portfolio

Income generating Portfolio comprising 20-30 stocks that are consistently paying and growing their dividend:

- Dividend Yield > 150% of S&P 500 Dividend
  - Earnings Yield > 4.0% and/or US 10 Year Treasury Note
  - Preference for Dividend Growth Rate >5%
  - Purchase Target for Stock is at or below fair value
- 
- Current Dividend Yield: 3.5%

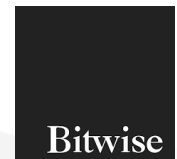
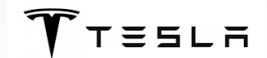




# Soltis Growth Stock Portfolio

Long-Term U.S. Large Cap Stock Portfolio of 20-25 companies with demonstrated ability to generate consistent earnings growth:

- Lower 5-Year PEG Ratio relative to Industry
- Strong Fundamental Analysis Metrics
- Strong Mid-Term and Long-Term Technical Analysis Score
- Consistency in meeting or exceeding quarterly EPS estimates.



# Soltis Hedged Equity Portfolio

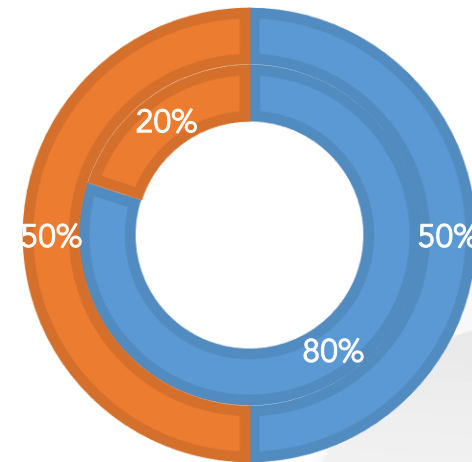
## Objective:

- Out-perform Equity Markets in Down-markets,  
Out-perform Bond Markets in Up-markets.
- Capital Preservation
- Down Capture Ratio < 25% to S&P 500

## Portfolio Construction:

- 50 – 80% Buffered Strategies
- 20 – 50% Bear Market Strategies
- Rules-based Tactical Construction

■ Buffered Strategies   ■ Bear Market Strategies



## Example Holdings:

- PDEC – Innovator Def Outcome 15% Buffer
- UDEC– Innovator Def Outcome 30% Buffer
- TAIL – Cambria Tail Risk
- AHLYX – American Beacon AHL Mgd Futures

# Structured Notes

## Barrier Growth Structure

Client's seeking growth of the equity market with barrier bottom side protection

### Enhanced Upside – 1.10X over 3 years

Index	Investor
20%	22%
15%	16.5%
10%	11%
(10%)	0%
(40%)	0%
(41%)	(41%)

30% bottom side barrier

### Enhanced Upside – 1.17X over 4 years

Index	Investor
20%	23.4%
15%	17.55%
10%	11.7%
(10%)	0%
(40%)	0%
(41%)	(41%)

40% bottom side barrier

### Enhanced Upside – 1.2X over 5 years

Index	Investor
20%	24%
15%	18%
10%	12%
(10%)	0%
(50%)	0%
(51%)	(51%)

50% bottom side barrier

### EXAMPLES:

Typically utilizes the lesser of  
S&P and Dow Or S&P and Russell

Underwriters: Barclays, Bank of America, Citi, Morgan Stanley, Bank of America, Goldman Sachs, Credit Suisse, BNP Paribas, and JP Morgan

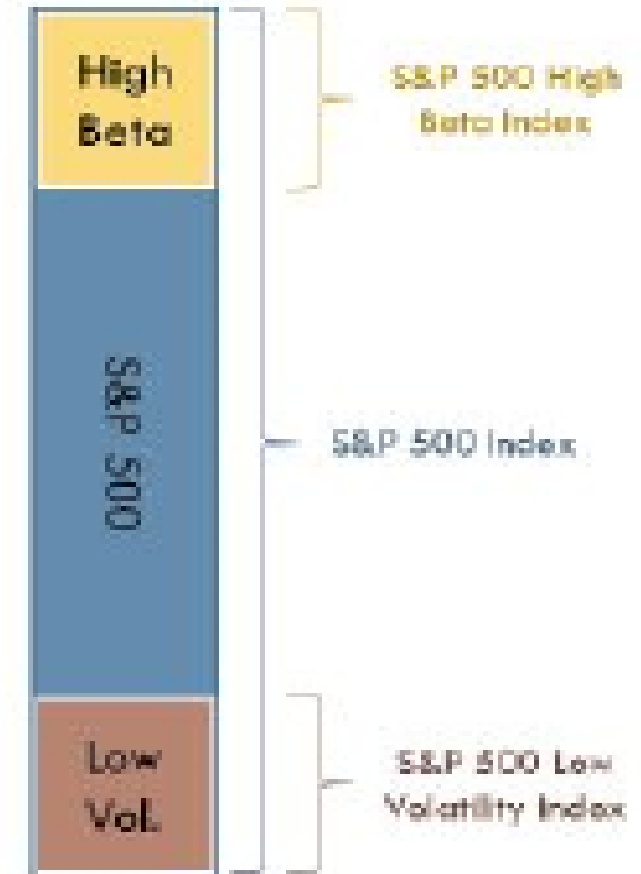


These examples are for illustrative purposes only. Each structured product can exhibit an entirely different set of characteristics, risks and rewards. Investors should carefully read the prospectus and pricing supplement prior to investing which contains detailed explanations of the risks, tax treatment, and other relevant information about the investment. The profit and loss potential of many structured products is more akin to an option contract, particularly those where principal is invested is at risk from market movements in the underlying security.

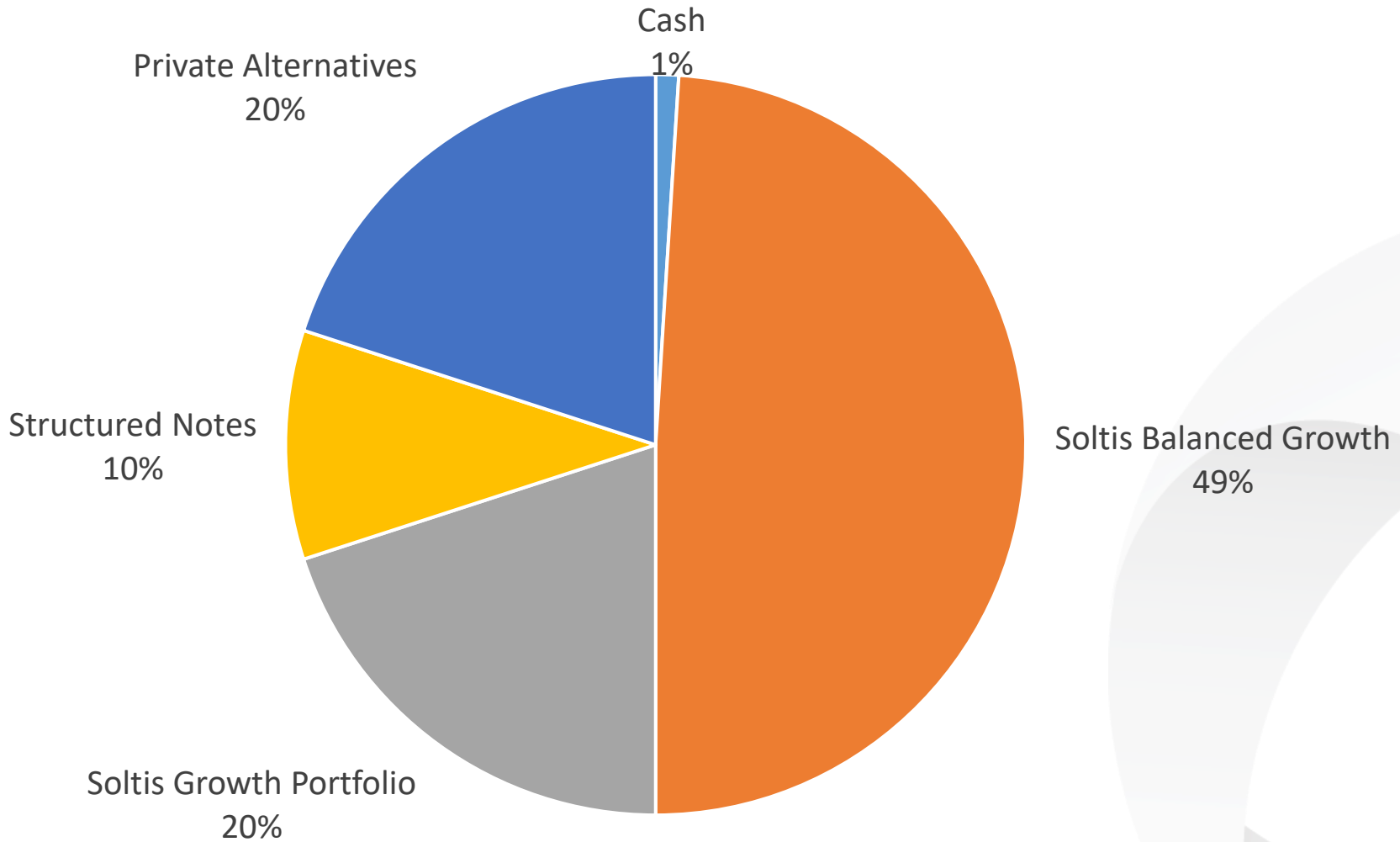
# Soltis Dynamic Sector ETF Portfolio

## US Large Cap Strategy:

- Focusing on Sector Selection with Trailing Stop Losses
- Factor Rotation Using Lunt Capital's Large Cap Factor Rotation



# Balanced Growth Portfolio Enhanced Through Investment Innovation





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# Private Alternatives

# Alternatives as an Asset Class

Diversification: Potential to enhance performance and mitigate risk



*Adding Alternatives  
to a traditional stock and bond  
portfolio  
may enhance diversification,  
lower volatility, and  
reduce downside risk.*



# Select Non Act-40 Alternatives Available

Soltis has vetted and has access to several alternative strategies which offer attractive yields and enhanced diversification to complement a core portfolio

**BRIDGE  
INVESTMENT  
GROUP**



**OAK STREET**  
REAL ESTATE CAPITAL

**J.P.Morgan**



**KEYSTONE**  
NATIONAL GROUP



**GREENLAKE**

**Blackstone**



SUNDANCE BAY

**CAIS**



**TAYLOR  
DERRICK  
CAPITAL**



**CIMARRON**  
HEALTHCARE CAPITAL

THE  
**CYNOSURE**  
GROUP



**CNL**



**GRIFFIN  
CAPITAL**

**BASELINE**

**MOSAIC**  
REAL ESTATE INVESTORS

**MELKONIAN**  
CAPITAL MANAGEMENT

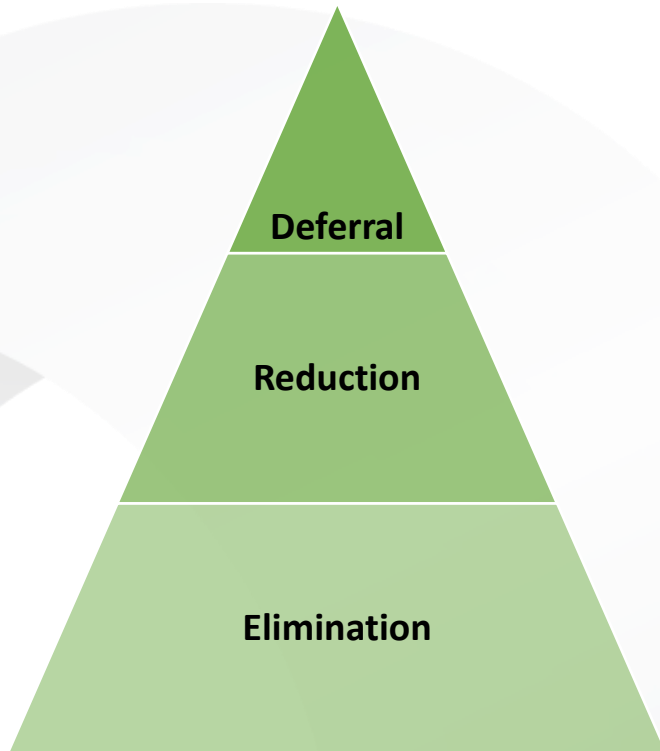
*\*Investments may be restricted to income thresholds and/or "qualified investor, qualified client, or accredited investor" which are defined by the SEC as having minimum net asset thresholds. An investment in Non-Act 40 Alternatives will involve risks and may not be appropriate for all types of investors. See disclosures in the back of the presentation for a list of risk factors. This list does not purport to be a complete enumeration or explanation of the risks involved and additional risks or uncertainties may adversely affect the value of an investment. Prospective investors should read all investment disclosures and agreements carefully and consult with their advisors before deciding whether to invest.*



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# Opportunity Zone Funds



Defer realized gain from appreciated asset if invested into a Opportunity Fund within 180 days of realizing the gain. Recognition date on or before December 2026.



If investor holds for:  
At least 5 years: 10% tax reduction on deferred capital gain.



If investor holds for:  
At least 10 years: No tax is paid on any appreciation of the deferred capital gains in the Opportunity Zone Investment.

# Soltis Investment Advisors



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