

Concentrated Position Overlays

Manage Concentrated Stock or Sector ETF Positions

No Two Investors Are the Same. Why Should Their Portfolio Solutions Be?

Concentrated holdings present investors with a range of challenges and risks.

Options enable advisors to structure a path to desired outcomes, while addressing risks and optimizing tax implications. Option overlays can fit into a comprehensive plan for investors' concentrated positions.

Concentrated Position Overlays: Tailored to Investor Objectives

- Low-Cost or No-Cost Hedging Strategies
- Income Generation
- Tax-Managed Transitions
- Support Philanthropic Goals
- Position Monetization / Strategic Exit
- & More

Expertise + Tailored Solutions + Scalable Implementation



- A leader in option overlays and hedging strategies, delivering customized options strategies and hedged equity solutions since 1997.
- Empowering advisors to offer HNW/UHNW clients tailored solutions at scale with advanced technology and comprehensive derivatives expertise.
 - Managed Options Overlays – Passive and active strategies on concentrated or multi-asset positions.
 - Managed Options-Based Strategies Across Asset Classes – Separately managed accounts, ETFs, and mutual funds.

Differentiate Your Practice.

Provide Tailored Solutions with Option Overlays.

Two primary objectives for investors with concentrated positions are hedging and enhancing yield.

Our option overlays offer personalized solutions for these or other objectives.

Client
Objective

Mitigate Downside Risk

Low-Cost or No-Cost Hedging:
Collar, or Put Spread Collar

Benefits:

- Maintain ownership rights, dividends
- Hedge downside risk to defined level or within buffer
- Adjust desired level of downside risk mitigation
- Participate in upside to a cap

Client
Objective

Generate Income

Create or Enhance Yield:
Covered Call

Benefits:

- Maintain ownership rights, dividends
- Create cash flow from non-yielding positions or enhance existing yield
- Premium generated may offset a portion of a decline in the underlying holding
- Participate in some capital appreciation

Targeted, scalable solutions. Low account minimums. Integrated with major custodians.



How to Get Started:

1. Consultation with portfolio manager.
2. Portfolio and correlation analysis.
3. Custom proposal generation.

Differentiate Your Practice. Deliver Tailored Solutions at Scale.

970.382.8901 x1 - swanglobalinvestments.com/advisor/swan-overlays

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