



**SWAN** GLOBAL  
INVESTMENTS

## Innovative. Investor-Focused. Outcome-Oriented.

Options-based, active ETFs designed to help long-term investors grow and preserve wealth.

### *Options to Mitigate Risk.*



**HEGD**

SWAN HEDGED EQUITY  
US LARGE CAP ETF



#### **Always Invested**

Seek growth via S&P 500 index ETF



#### **Always Hedged**

Actively manage long-term put options to mitigate risk

- ✓ Distinct blend of passive investing and active risk management
- ✓ Complement core equity positions
- ✓ Complement high yield or multi-sector bond positions

### *Options to Generate Income.*



**SCLZ**

SWAN ENHANCED  
DIVIDEND INCOME ETF

-POWERED BY O'SHARES INVESTMENTS



#### **Quality Equity Screen**

Select stocks with sound fundamentals and dividend profile



#### **Active Options Management**

Selectively write calls on individual stocks to seek optimal return

- ✓ Distinct 'Active-Active' approach to derivative income
- ✓ Complement core equity allocations
- ✓ Complement income allocations

**Contact Us**

(866) 617-SWAN (7926)

[etfs.swanglobalinvestments.com](https://etfs.swanglobalinvestments.com)

# Leader in Options Strategies, Since 1997.



- ✓ Outcome-oriented, actively managed, time-tested strategies
- ✓ Active & passive solutions for risk mitigation, income, and capital appreciation
- ✓ Multiple asset classes & structures
- ✓ Custom overlays for portfolios or concentrated positions



**LEARN MORE - Swan Active ETFs**

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Exchange-Traded Funds and Mutual Funds involve risk, including possible loss of principal. Shares of any ETF are bought and sold at market price (not NAV) and are not individually redeemed from the Fund. Brokerage commissions will reduce returns. There is no guarantee the Fund will meet its objective.

**Investors should carefully consider the investment objectives, risks, charges and expenses of Exchange Traded Funds (ETFs) before investing. This and other information is contained in the prospectus and should be read carefully before investing.**

**The Swan Hedged Equity U.S. Large Cap ETF (HEGD):** The fund’s investment objective is to seek long term capital appreciation while mitigating overall market risk. The fund is new and has a limited operating history. The fund (HEGD) is distributed by Foreside Fund Services, LLC, member FINRA / SIPC. To obtain a copy of this ETF’s prospectus containing this and other important information, please call [\(855\) 772-8488](tel:855-772-8488), or visit [etfs.swanglobalinvestments.com](http://etfs.swanglobalinvestments.com). Foreside Fund Services, LLC and Swan Capital Management, LLC & Swan Global Investments, LLC are not Foreside Fund affiliated. There is no guarantee the funds will meet their investment objectives. Past performance does not guarantee future results. SCML-547964-2024-05-16

**The Swan Enhanced Dividend Income ETF (SCLZ):** The fund’s investment objective is to seek income and capital appreciation. The fund (SCLZ) is distributed by Northern Lights Distributors, LLC, member FINRA/SIPC. To obtain a copy of this ETF’s prospectus containing this and other important information, please call [\(877\) 383-7259](tel:877-383-7259), or visit [etfs.swanglobalinvestments.com](http://etfs.swanglobalinvestments.com). Northern Lights Distributors, LLC and Swan Capital Management, LLC are not affiliated. There is no guarantee the funds will meet their investment objectives. Past performance does not guarantee future results. Selling call options reduces the Funds’ ability to profit from increases in the value of the Funds’ equity portfolio, and purchasing put options may result in the Fund’s loss of premiums paid in the event that the put options expire unexercised. To the extent that the Fund reduces its put option holdings relative to the number of call options sold by the Fund, the Fund’s ability to mitigate losses in the event of a market decline will be reduced. The Funds are non-diversified, meaning it may concentrate its assets in fewer individual holdings than a diversified fund. Therefore, the Fund is more exposed to individual stock volatility than a diversified fund. Fund’s ability to mitigate losses in the event of a market decline will be reduced. The Fund is non-diversified, meaning it may concentrate its assets in fewer individual holdings than a diversified fund. Therefore, the Fund is more exposed to individual stock volatility than a diversified fund. 3381-NLD-05/21/2024

An investment in either of these Funds involves risk, including possible loss of principal. Exchange Traded Funds and Mutual Funds involve risk, including possible loss of principal. There is no guarantee the Funds will meet its objective. The Funds will use put and call options, which are referred to as “derivative” instruments since their values are based on, or derived from, an underlying reference asset, such as an index. Derivatives can be volatile, and a small investment in a derivative can have a large impact on the performance of the Fund as derivatives can result in losses in excess of the amount invested. Options used by the Funds to reduce volatility and generate returns may not perform as intended. There can be no assurance that the Funds’ option strategy will be effective. It may expose the Funds to losses, e.g., option premiums, to which it would not have otherwise been exposed. Further, the option strategy may not fully protect the Funds against declines in the value of its portfolio securities. The prices of options may change rapidly over time and do not necessarily move in tandem with the price of the underlying securities.

Shares of any ETF are bought and sold at market price (not NAV) and are not individually redeemed from the Fund. Brokerage commissions will reduce returns. 3381-NLD-05/21/2024 SCML-547964-2024-05-16 ACTIVE-ETF-BRO

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