

# Seek Sustainable Yield AND Capital Appreciation

## SCLZ - OVERVIEW



The **Swan Enhanced Dividend Income ETF (SCLZ)** focuses on total return, seeking both sustainable income and capital appreciation.



SCLZ deploys an actively managed covered call-writing approach on a quality dividend growth stock portfolio.



This distinct approach combines Swan's decades of options strategy management with O'Shares' expertise in index strategy and development.



## FOR INVESTORS WHO ACTIVELY SEEK MORE

Stand out in a field of passive strategies that often:

- Cannot adapt to changing market conditions,
- Unduly cap upside potential,
- May erode an investor's capital base over time.

## KEY BENEFITS FOR INVESTORS



Our distinct "active-active" approach may offer investors a compelling "dual alpha" enhanced income solution.

### Quality Equity

Select quality stocks with sound capital appreciation potential

### Dividends

Favor stocks with strong dividend profile

**Total Return**

### Active Options

Actively manage options on individual stocks with high income potential

# SYNERGY OF EXPERTISE BEHIND A DISTINCT SOLUTION

## INNOVATING FOR INVESTORS

Industry leaders in options strategies and index strategy development join forces to provide investors an innovative income solution.

## MANAGER – Swan Global Investments



**Randy Swan**  
Founder & Lead  
Portfolio Manager



**Chris Hausman**  
Senior Portfolio  
Manager

## O'Shares Investments – INDEX PROVIDER



**Connor O'Brien**  
President & CEO



**Kevin O'Leary**  
Chairman



## FIND OUT MORE

Questions? We're here to help!  
Scan to learn more or arrange a  
time to speak with our team.

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**Investors should carefully consider the investment objective, risks, charges and expenses of the Swan Enhanced Dividend Income Fund. This and other information is contained in the prospectus and should be read carefully before investing. For a copy of the prospectus, please call 877-ETF-SCLZ.**

The fund's investment objective is to seek income and capital appreciation. An investment in the fund 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 Fund will meet its objective. The fund 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 Fund to reduce volatility and generate returns may not perform as intended. There can be no assurance that the Fund's option strategy will be effective. It may expose the Fund to losses, e.g., option premiums, to which it would not have otherwise been exposed. Further, the option strategy may not fully protect the Fund 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. Selling call options reduces the Fund's ability to profit from increases in the value of the Fund's 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 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.

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.

**The Fund is distributed by Northern Lights Distributors, LLC, member FINRA/SIPC. Northern Lights Distributors, LLC and Swan Capital Management, LLC are not affiliated. There is no guarantee the fund will meet its objective.** 3194-NLD-02/27/2024 SCLZ-BRO-1