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55 Capital Acquires 3D Asset Management

Two pioneering ETF firms come together to help advisors and investors

SAN FRANCISCO, CA — XXXX, 2017 – 55 Capital, an investment manager delivering dynamic portfolios using ETFs, today announced the acquisition of 3D Asset Management, an early innovator in building all ETF portfolios for advisors. The transaction brings together two complementary product line-ups and significantly enhances the capabilities and services offered to clients, including providing ETF portfolios in 401(k) plans. Total managed and advised assets across the two firms is approximately \$850m. Terms of the transaction were not disclosed.

Bruce Lavine, CEO of 55 Capital, said: “55 Capital’s goal is to be a leading provider of a complete range of products and services that fully harness the power of ETFs for advisors and those who serve them. This transaction brings together two innovative firms, who together are uniquely positioned to help advisors and investors experience the full benefits of ETFs. 3D Asset Management has championed ETF-based strategies with advisors across multiple channels and structures over the last 10 years. They have a very strong service model and have served their customers well. We intend to be additive to all that they have achieved.”

John O’Connor, President of 3D Asset Management, commented: “Advisors have embraced 3D Asset Management as a valuable partner, helping their clients reach their investment goals and assisting them with building their practice with full back office support. 55 Capital’s deep investment expertise and reputation as ETF pioneers propels 3D into its next, exciting chapter.”

Mr. O’Connor continued: “Our clients can expect to have the same experience with us and more. With powerful risk management, operational, and distribution resources, plus a shared commitment to putting clients first, we will offer more opportunities to help advisors and affluent and institutional investors.”

The combined firm offers a wide range of investment strategies and services:

- **100% ETF-based investment portfolios** offer exposure to asset allocation, equity, fixed income, alternatives, and global macro. The overarching guiding investment principles for all portfolios include actively managing passive exposures, being globally diversified with a full range of ETFs, and deliberately incorporating factor exposures. The portfolios

are categorized in two distinct groups – strategic and dynamic -- to best meet the varying needs of investors:

- Strategic Portfolios – Formerly known as 3D Portfolios, 55 Capital Strategic Portfolios manage risk using a long-term market cycle framework and are based on specific investor risk management decisions. The investment team will continue to be led by Benjamin Lavine.
- Dynamic Portfolios – 55 Capital Dynamic Portfolios actively manage risk across multiple asset classes by changing allocations monthly in response to the 55 Capital Market Risk Indicator (MRI) and other macroeconomic and market based insights. The portfolios will continue to be managed by the research team under the direction of Dr. Vinay Nair, co-chairman of 55 Capital.
- **ETF tax overlay service** that actively harvests tax losses in ETF portfolios to help the taxable investor have the potential to enhance after-tax returns.
- **Turnkey asset management program (TAMP)** that helps advisors provide customized support to their clients so they can concentrate on spending time with their clients and meeting their investment needs.
- **ETF portfolios in 401(k) and ERISA plans (DCIO)** are offered with the recognition that the full range of precise and low-cost exposures delivered by ETFs can benefit plan participants. 55 Capital offers ETF-based portfolios through unitized retirement portfolios and Collective Investment Trusts (CITs).

About 55 Capital

55 Capital is a global investment manager delivering dynamic portfolios that span numerous asset classes, market segments and geographic exposures. 55 Capital's goal is to provide well-diversified core portfolios that has more return drivers and more active management of risk and tax than most investors have access to today. 55 Capital implements its strategies with 100% ETFs to provide precise, low-cost, tax-efficient access to a wide range of asset classes. The firm, headquartered in San Francisco, leverages the combined wisdom of ETF pioneers and a deep research network to systematically manage assets for advisors, high net worth and institutional investors.

About 3D Asset Management

Established in 2006 and based in Hartford, CT, 3D Asset Management is an ETF Strategist who partners with fee-based financial advisors to deliver the benefits of global diversification and ETFs to individual investors and retirement plan participants. Through rigorous portfolio construction and monitoring, 3D designs and manages diversified portfolios that control cost, manage risk, and simplify global investing. 3D also delivers practice-enhancing and value-creating solutions to advisors to help grow and scale practices focused on the wealth management, retirement plans and retirement income markets.

For more information, visit 55capitalpartners.com or email us at info@55capitalpartners.com.

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