Brookwood

SMART ALPHA:
PROFESSIONAL ASSET MANAGEMENT

INVESTING WITH ARTIFICIAL INTELLIGNCE

AI is transforming wealth management services.

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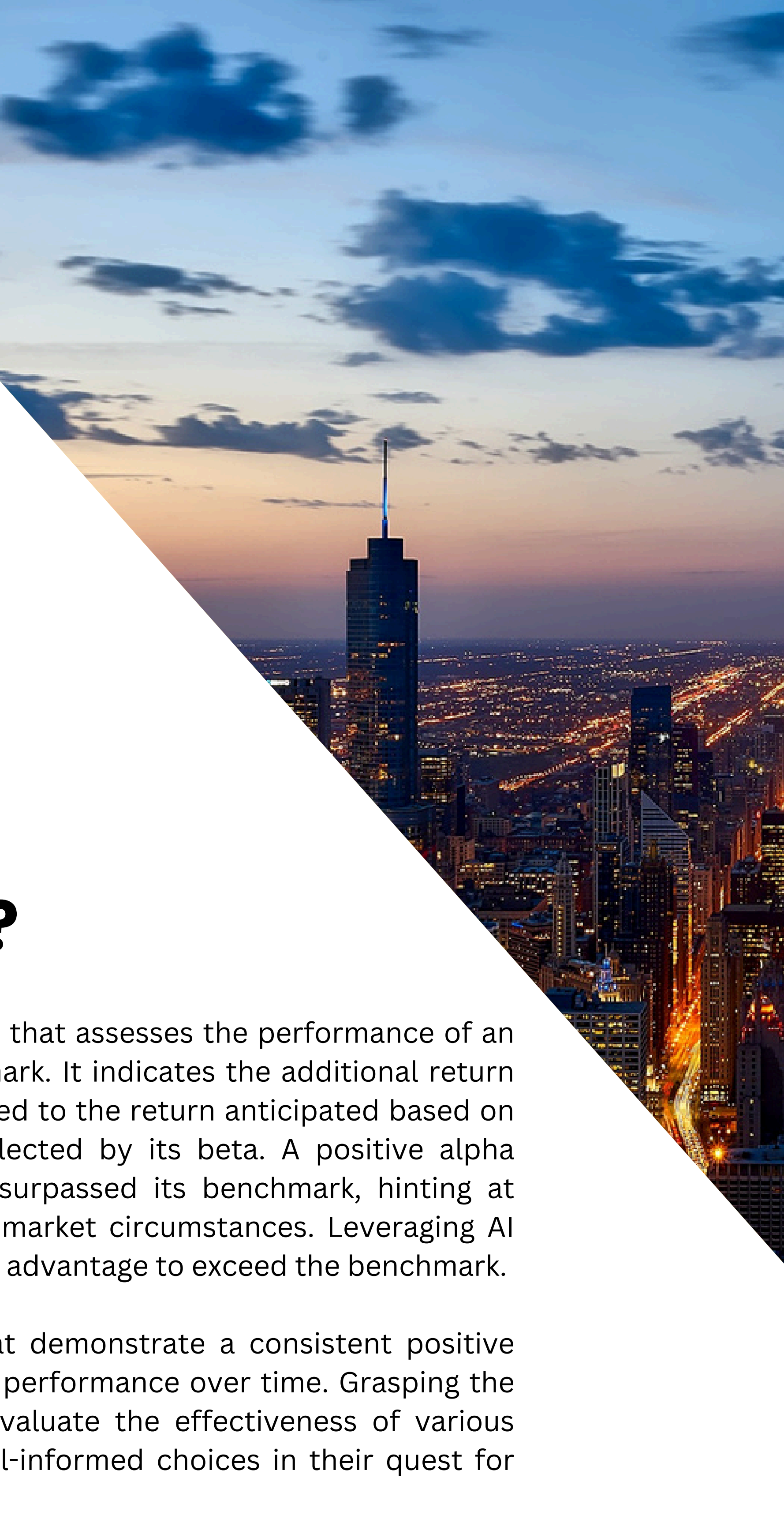

What is Alpha?

Alpha is an essential financial metric that assesses the performance of an investment in relation to its benchmark. It indicates the additional return generated by an investment compared to the return anticipated based on its risk level, which is typically reflected by its beta. A positive alpha indicates that the investment has surpassed its benchmark, hinting at effective management or favorable market circumstances. Leveraging AI may provide active managers with an advantage to exceed the benchmark.

Investors frequently seek funds that demonstrate a consistent positive alpha as a sign of potential superior performance over time. Grasping the concept of alpha helps investors evaluate the effectiveness of various investment strategies and make well-informed choices in their quest for enhanced returns.

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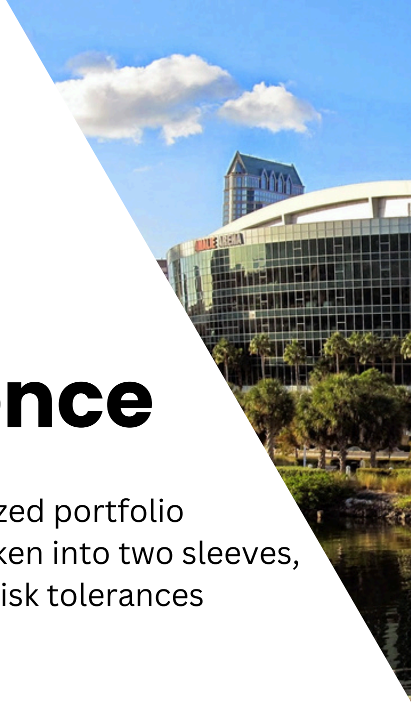

The Brookwood Difference

Brookwood has combined best-in-class solutions that deliver a customized portfolio suitable for all client sizes and risk tolerances. Strategic weights are broken into two sleeves, Equity and Fixed Income, and are utilized within a framework of five (5) risk tolerances ranging from Conservative to Aggressive.
•The strategic weights are rebalanced periodically.
•To deliver these bespoke solutions, we partnered with Nextfolio and Turing Technology to employ a proprietary value proposition for equity allocations.
•For fixed income, the top-ranked, award-winning team designs high conviction portfolios around the current economic and business cycles.

Modeled Portfolios

Smart Alpha Strategy List – Equity & Fixed Income

Stock Portfolios

- EAM Large Cap Blend
- EAM Large Cap Growth
- EAM Large Cap Value
- EAM Small Cap Blend
- EAM Small Cap Growth

Bond Portfolios

- Total Return (Core Bond)
- Enhanced Cash (Short Duration)
- Enhanced Income (High Coupon)
- High Yield Bond (Below Investment Grade)
- Municipal Bond

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Planning for Goals

OUR PERSONALIZED INVESTMENT PLANNING STRATEGY

WE ASSIST YOU IN TAILORING YOUR FINANCIAL PLAN BASED ON THE FIVE KEY PILLARS OF FINANCIAL PLANNING: TAX, INSURANCE, INVESTMENT, RETIREMENT, AND ESTATE PLANNING.* OUR COLLABORATIVE TEAM APPROACH ENABLES ADVISORS TO CONSULT WITH SPECIALISTS IN EACH PILLAR, INCLUDING CPAS, INSURANCE EXPERTS, CFAS, AND ATTORNEYS, TO DEVELOP AND SUSTAIN A CUSTOM PLAN THAT SUITS YOUR NEEDS. REGARDLESS OF THE SIZE OF YOUR ESTATE OR RETIREMENT GOALS, OPTIMIZING YOUR TAX STRATEGY, MITIGATING RISKS, MANAGING YOUR BUDGET, AND AVOIDING PROBATE ARE VITAL FOR THE WELL-BEING OF YOUR FAMILY.

***5 PLLARS OF FINANCIAL PLANNING ARE OUTINE BY THE CFP BOARD. NOT ALL BROOKWOOD INVESTMENT GROUP ADVISORS HOLD A CFP CERTIFICATE. BROOKWOOD INVESTMENT GROUP DOES NOT PROVIDE TAX OR LEGAL ADVISE. IF YOU PLANNER RECOGNIZES TAX OR LEGAL DEFICIENCIES IN YOUR PLAN PLEASE SEEK ADDITIONAL OPIONS FROM TAX AND LEGAL PROFESSIONALS**

SEQUENCE OF RETURNS

RISK TOLERANCE & TIME HOIZION

Our aim is to develop a portfolio tailored to your specific risk tolerance. Many of us have navigated through events like the DotCom bubble, Enron scandal, housing crisis, and the Covid outbreak. In the investment realm, we refer to these as black swan events—unexpected occurrences that can shake the market. However, managing these black swan events becomes easier when your portfolio aligns with your risk tolerance and investment horizon. For many, the DotCom bubble felt less painful compared to the housing crisis or the Covid-19 pandemic, as we were younger and had more time to recover. Additionally, being completely out of the market means missing out on potential recoveries. Let’s create a plan that reflects your risk tolerance.

OUR **SERVICES**

ASSET MANAGEMENT

Our advisors work closely with you to create a customized strategy that aligns with your goals. We emphasize asset allocations through ETFs, professional asset managers, and alternative investments, steering clear of standard legacy mutual funds. Investing demands a personalized approach, not a one-size-fits-all solution.

ADDITIONAL SERVICES

Asset allocation is a key component of financial planning. Our Certified Financial Planners collaborate with you to create a comprehensive strategy that may encompass tax strategies, estate planning, income planning, and ensuring you have adequate risk mitigation through insurance.

Our professionals utilize their industry connections to help you connect with other specialists, including:

- CPAs
- Attorneys
- Insurance Professionals

Transitioning careers, selling a business, or retiring can be extremely stressful experiences. Our experts are here to assist you in navigating these changes through a collaborative approach to investing and income distribution. Click here to arrange a discovery call!

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PLAN WITH CONFIDENCE

Joseph Ward, CFP

CERTIFIED FINANCIAL PLANNER

Joe collaborates with clients to develop financial plans for different life stages: accumulation, income distribution, and capital preservation. Since 1997, Ward has navigated significant events, including the Dot-Com boom and bust, corporate scandals, the housing crisis, and current issues like cryptocurrencies and artificial intelligence.

Achieving success in planning requires a clear structure and a committed team. Ward joined Brookwood Investment Group to provide clients with access to Private Family Office resources at reduced costs. Comprehensive financial planning encompasses income, tax, insurance, estate, and investment planning. The firm connects clients with specialized experts through a vast professional network to deliver turnkey solutions.

Theresa Salak

Terry plays a vital role in assisting our clients with healthcare insurance and planning. As a key member of our team, Terry helps clients from multiple states navigate the best options for applying for Medicare and Social Security.

Beyond her professional commitments, Terry finds joy in helping others. As a long-standing board member of the High Country Charitable Foundation, she has also shown strong support for WNC Strong this year. These organizations provide essential aid to the residents of Western North Carolina in the aftermath of Hurricane Helene.

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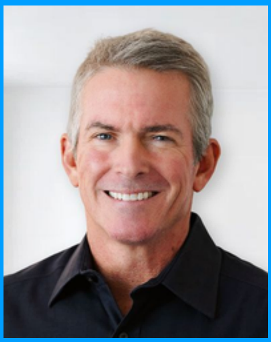
OUR TEAM



Robert Raimondo, CEO Founder

Robert has 25 years of experience as CEO of Brookwood Investment Group. He started as an individual practitioner, later becoming managing partner at a Greenwich firm that grew over $2 billion in AUM before co-founding BIG. His experience includes serving as Board President of a non-profit, managing shareholder litigation, and assisting a medical cannabis company with its public listing. He also clerked for Judge Isaac Borenstein in Massachusetts. Robert holds a JD from Boston College Law School and a BA in Political Science and English Literature from Fairfield University. He currently resides between Phoenix, AZ, and Coronado, CA, enjoying family, food, the arts, and fitness activities.

Chris Coolidge, Chief Investment Officer

Chris Coolidge, a CFA® charterholder with 25 years of investment experience, is a portfolio and relationship manager at Brookwood Investment Group. He holds a B.S. in Finance from Drexel University and has a strong track record in delivering investment services, having previously worked at BlackRock and Brandywine Global Investment Management. He managed fixed income strategies with assets reaching $17 billion and is an 8-time PSN Top Gun Award winner. Chris is actively involved in the CFA Institute, CFA Society of Philadelphia, and the Bond Club of Philadelphia, contributing to the investment management field.

Kim Raimondo, President and Founder

Kim possesses over 20 years of executive leadership experience in investment advisory, insurance, and private funds, emphasizing operations, risk management, and regulatory compliance. As a litigation and securities attorney, she offers valuable perspectives on regulatory issues and is recognized for her strategic approach and innovative talent management techniques. Kimberley obtained her JD from Pace University School of Law and earned her BA from Fairfield University. She resides in Phoenix, Arizona, with her husband and their four children.

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DISCLOSURES

REGISTERED INVESTMENT ADVISORY

Brookwood Investment Group, LLC, a registered investment adviser registered with the Securities and Exchange Commission under the Investment Advisers Act of 1940 with its principal supervisory office in Phoenix, Arizona. Registration with the SEC should not be construed to imply that the SEC has approved or endorsed qualifications or the services offered, or that its personnel possess a particular level of skill, expertise or training. Additional information pertaining to our registration status, business operations, services and fees and its current written disclosure statement is available on the SEC's Investment Adviser public website at https://www.adviserinfo.sec.gov/.

Conflicts of Interest

Certain of our representatives are licensed insurance agents of our affiliated or non-affiliated companies. and, in that capacity, may recommend on a fully disclosed basis the purchase of certain insurance-related products. These individuals are compensated for the sale of these products. The recommendation by a representative that a client purchase a commission-based product presents a conflict of interest, as the receipt of commission may provide an incentive to recommend products based on commissions received rather than on a particular client's need. It is important to review your representative's Brochure Supplement to be aware if any such conflicts exist.

No client is under any obligation to purchase any commission-based products from a representative. Clients are reminded that they may purchase insurance-related products recommended by through other, non-affiliated representatives and/or companies.

GET
IN TOUCH

Schedule your discovery call today!

CONTACT US :

727-317-6898

www.investwithbrookwood.com

joe.ward@brookwoodinvestmentgroup.com

300 4th Ave S Ste 300 St Petersburg, FL 33701

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