


A photograph of an elderly couple embracing outdoors. The woman, with blonde hair, is leaning over the man, who has white hair. Both are smiling broadly. They are wearing light-colored, textured sweaters. The background is a soft-focus green, suggesting a park or garden setting. The entire image has a light blue overlay.

**HELPING YOU
CREATE THE
FINANCIAL
FUTURE YOU
DESERVE.**

FOUNDATIONS



ARE YOU READY TO TAKE CONTROL OF YOUR FUTURE?

By working with a Foundations Investment Advisor, you'll have access to the comprehensive & exclusive investment options you need when approaching today's volatile markets.

A plan that's built for you

Priority #1 is to better understand your goals, time horizon, and risk tolerance. Then we develop a long-term financial plan tailored to your specific goals. This custom strategy serves as a roadmap to grow and monitor your wealth keeping you on track financially.

A strategy to manage risk

Successful investing is about managing risk, not avoiding it. Once your goals are established, your advisor will create and implement a risk-managed investment strategy. Each investment will have its own job to do, but together they will seek to achieve your long term financial goals.

We believe if a strategy seeks to avoid significant losses it will help achieve your long-term goals more efficiently.

A photograph showing three people in a professional setting. On the left, a woman with short brown hair, wearing a white sleeveless top, is smiling and shaking hands with a man on the right. In the center, an elderly man with white hair and a beard, wearing a blue plaid shirt, is looking down at a document on the table. The man on the right is wearing a grey suit, a white shirt, and a dark tie, and is also smiling. They are all gathered around a table with papers and a tablet. The background shows a bookshelf filled with books. The entire image has a blue tint.

HAVE CONFIDENCE KNOWING OUR ADVISORS ARE FIDUCIARIES

Independent advisors are held to a fiduciary standard with your best interest in mind.

What does that really mean? Whether an adviser is regulated by the Securities and Exchange Commission (SEC) or state securities regulators, the registration and licensing imposes a fiduciary duty that requires them to put their client's interests above their own. The laws regarding fiduciary duty have generally always been consistent in defining what a fiduciary means: The fiduciary duty consists of a duty of loyalty and care. For example, advisers cannot buy securities for their accounts prior to buying them for clients and are prohibited from making trades that may result in higher commissions for themselves or their investment firms. This foundational principal guides our investment solutions and advice.



ABOUT FOUNDATIONS INVESTMENT ADVISORS

Foundations Investment Advisors is an SEC Registered Investment Adviser (RIA). As one of the fastest growing RIA firms in the United States, we employ a team of skilled portfolio managers and provide professional planning services with an actively managed, risk-based focus. We believe it's important to provide the tools for financial advisors to help make efficient, goals-based financial plans for investors like you. In addition, we pride ourselves on making sure the investor experience is an enjoyable one that remains efficient and transparent.



145+
Advisors
Across U.S.

12,500+
Accounts
Served

\$1.2 Billion+
In Assets Under
Management

As of 2.15.2020

A blue-tinted photograph of a business meeting. Several people in suits are gathered around a table. One person is pointing at a document with a pen. The table is covered with various documents, including line graphs and pie charts. A smartphone is also visible on the table. The overall atmosphere is professional and collaborative.

**WE'RE PROUD TO
OFFER GIPS® VERIFIED
PORTFOLIOS**

Global Investment Performance Standards

The Global Investment Performance Standards (GIPS®) is a set of standardized, industry-wide ethical principles that guide investment firms on how to calculate and present their investment results to prospective clients.

GIPS® Verification is the review of an investment management firm's performance measurement processes and procedures by an independent third-party verifier. It also tests whether the firm's policies and procedures are designed to calculate and present performance in compliance with the GIPS® standards. We are proud to offer portfolios that are GIPS® verified.



OUR PORTFOLIOS

Help navigate investor reactions to volatility in the market

Volatility isn't just the downward movement of stock prices, it's the size and frequency of change. The more dramatic the change, the higher the volatility. Known as the investor fear gauge, the Chicago Board Options Exchange Volatility Index (VIX) estimates the expectation of volatility by looking ahead 30 days and tracking options linked to the S&P 500 and is considered the leading benchmark index. When the VIX jumps, it means investors are frantically buying or selling to hedge against a possible market move; when the VIX drops, it means trading has calmed.

Drivers of volatility can be temporary freak-outs over news of the day, or they can be indicators of long-term trends such as the drop in crude oil prices or a change in short-term interest rates.

Given the volatility of the investment environment today, investors who are nearing or at the time of retirement may want to seek to limit downside risk by seeking tactical asset management. A tactical strategy strives not only to grow your assets, but also to retain what you have worked so hard to gain throughout your life.

Talk to your advisor today about your options for addressing market volatility using a proactive, risk-management strategy.



FOUNDATIONS

Portfolio Series Overview

CORE SERIES

POWERED BY BLACKROCK®

POWERED BY BLACKROCK, THESE MODELS ARE FORWARD-LOOKING BUILT WITH INDEX FUNDS ACROSS A RANGE OF EQUITIES, BONDS AND ALTERNATIVE INVESTMENTS. THEIR GOAL IS TO DELIVER THE HIGHEST RISK ADJUSTED RETURN POSSIBLE, NET OF FEES, WITH A KEEN EYE ON COST EFFICIENCY. THE MODELS TRADE SEMI-TACTICALLY WITH REBALANCING OPPORTUNITIES QUARTERLY, AS WELL AS, AD-HOC.

SMART CORE SERIES

POWERED BY BLACKROCK®

POWERED BY BLACKROCK, THESE MODELS ARE FORWARD-LOOKING AND WILL HAVE A HIGHER WEIGHTING TO FACTOR STRATEGIES AS A PERCENTAGE OF THE OVERALL PORTFOLIO WHICH WILL ATTEMPT TO PROVIDE A HIGHER ALPHA TARGET. THIS WILL INCREASE THE COST OF THE MODEL, BUT AGAIN PROVIDE INVESTORS GREATER EXPOSURE TO AN ADDITIONAL SOURCE OF POTENTIAL ALPHA TARGETED VIA FACTOR INVESTING. THE MODELS TRADE SEMI-TACTICALLY WITH REBALANCING OPPORTUNITIES QUARTERLY, AS

STRATEGIC SERIES

BASED ON A REFINED VERSION OF MODERN PORTFOLIO THEORY, THESE MODELS VIEW PORTFOLIO COMPOSITION WITH A FOCUS ON RISK CATEGORIES AS OPPOSED TO ASSET CATEGORIES. MODEL POSITIONS ARE IMPLEMENTED BASED ON A TOP DOWN MACRO VIEW THAT INCORPORATES FUNDAMENTAL, ECONOMIC AND GEOPOLITICAL ANALYSIS ACROSS DOMESTIC AND INTERNATIONAL GEOGRAPHIES.

TARGET DRAWDOWN SERIES

POWERED BY CABANA

POWERED BY CABANA, THESE ALGORITHM-BASED MODELS SEEK TO LIMIT VOLATILITY OVER A ONE-YEAR PERIOD PEAK TO TROUGH. THE PORTFOLIO IS TACTICAL AND VERY REACTIVE TO MARKET MOVEMENT UTILIZING A BROAD SPECTRUM OF PRIMARY ASSET CLASSES LIKE EQUITIES, BONDS, REAL ESTATE, AND COMMODITIES. THE PORTFOLIO WILL INCORPORATE SCENE CHANGES REALLOCATED INTO A MORE BEARISH OR BULLISH STRATEGY BASED ON ECONOMIC CYCLES AND MARKET CONDITIONS.

FLEX SERIES

ALLOCATED 50% TO THE MOMENTUM-BASED TACTICAL STRATEGY AND 50% TO THE ECONOMIC TRENDS STRATEGY, THESE MODELS ARE STRUCTURED USING ETF'S AND MUTUAL FUNDS. THE FUNDS USE VARIOUS STRATEGIES THAT UNDERLIE THE MOMENTUM MODEL ALGORITHMS TO LOOK AT PRICE TRENDS AND ECONOMIC TRENDS AND THEN APPLY OPTIMIZATION TECHNIQUES THAT SEEK TO MAXIMIZE RETURN WHILE MANAGING DOWNSIDE RISKS.

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