

# Discover Ocean Park's Active ETFs

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# A Focus on Limiting Downside Risk

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Consider Ocean Park's active exchange traded funds (ETFs) that seek to limit downside risk and participate in market uptrends. Ocean Park's ETFs seek these outcomes by combining a tactical, rules-based investment approach with the advantages of ETFs.

## EQUITY

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**DUKQ**

Ocean Park  
Domestic  
ETF

**DUKX**

Ocean Park  
International  
ETF

## FIXED INCOME

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**DUKZ**

Ocean Park  
Diversified  
Income  
ETF

**DUKH**

Ocean Park  
High Income  
ETF

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## Risk-Managed Outcomes

When our rules-based strategy identifies tactical buying opportunities, we focus on securities with strong risk-adjusted returns. Our sell process is driven by our Trailing Stop Discipline<sup>1</sup>, which seeks to limit our portfolio drawdowns.

Our investment approach is index agnostic<sup>2</sup>, which provides freedom when tactically seeking lower downside risk and upside potential. We may increase an ETF's cash allocation in the absence of uptrends or to help mitigate downside risk during times of market turbulence.

Given our distinct, tactical investment process, our active ETFs can be used to complement other investment managers within portfolios.

**There are a variety of ways our ETFs can be positioned in a portfolio.  
Consider these four:**

**Ocean Park Domestic ETF**

DUKQ can be used within a portfolio's core equity allocation to help strengthen domestic exposure.

■ DUKQ ■ core equity allocation



**Ocean Park International ETF**

DUKX can be used within a portfolio's core equity allocation to add geographical diversification.

■ DUKX ■ core equity allocation



**Ocean Park Diversified Income ETF**

DUKZ can be used as a complement to a portfolio's core fixed income allocation to help increase asset-class diversification.

■ DUKZ ■ core fixed income allocation



**Ocean Park High Income ETF**

DUKH can be used as a complement to a portfolio's core fixed income allocation to help grow income.

■ DUKH ■ core fixed income allocation



**Ocean Park ETFs Investment Objectives:** To provide total return and to limit exposure to downside risk.

#### **Ocean Park Domestic ETF**

The Fund tactically allocates between US Equity ETFs and cash equivalents. The universe of US ETFs is unconstrained and primarily includes those based on market capitalization, styles, factors, sectors and industries.

The Fund applies a proprietary trend following-based strategy that utilizes banded moving averages to generate buy and sell signals. Cash equivalents and/or short-term bond funds are held in the absence of uptrends.

#### **Ocean Park International ETF**

The Fund tactically allocates between International Equity ETFs and cash equivalents. The universe of International ETFs is unconstrained and primarily includes those based on market capitalization, styles, factors, regions and countries. International Equity ETFs include both developed and emerging markets.

The Fund applies a proprietary trend following-based strategy that utilizes banded moving averages to generate buy and sell signals. Cash equivalents and/or short-term bond funds are held in the absence of uptrends.

#### **Ocean Park Diversified Income ETF**

The Fund tactically allocates between fixed income ETFs and cash equivalents. The universe of fixed income ETFs is unconstrained and primarily includes those based on U.S. Treasuries, investment grade and high yield corporate bonds, investment grade and high yield municipal bonds, mortgage-backed securities, developed international and emerging market bonds, convertible bonds, preferred securities and bank loans.

The Fund applies a proprietary trend following-based strategy that utilizes banded moving averages to generate buy and sell signals. Cash equivalents and/or short-term bond funds are held in the absence of uptrends.

#### **Ocean Park High Income ETF**

The Fund tactically allocates between higher yielding ETFs, long-term U.S. Treasury ETFs and cash equivalents. The universe of higher yielding ETFs is unconstrained and primarily includes those based on high yield corporate bonds, high yield municipal bonds, emerging market bonds, preferred securities and bank loans.

The Fund applies a proprietary trend following-based strategy that utilizes banded moving averages to generate buy and sell signals. When high yielding ETFs are not in an uptrend, the Fund may invest in long-term U.S. Treasury ETFs if long-term U.S. Treasury ETFs are in an uptrend. Cash equivalents and/or short-term bond funds are held in the absence of uptrends.

**Investors should carefully consider the investment objectives, risks, charges, and expenses of the Ocean Park funds. This and other information about the funds is contained in the prospectus and should be read carefully before investing. The prospectus can be obtained on our website [oceanparkam.com](http://oceanparkam.com) or by calling toll free 1-866-738-4363 (1-866-RETI-FND).**

#### **RISKS AND DISCLOSURES:**

<sup>1</sup>**Trailing Stop Discipline ("Discipline"):** This proprietary Discipline has the objective of limiting the magnitude for portfolio drawdowns. The Discipline is based on a manual process that defines sell levels/signals for security holdings in decline, as measured by its price falling below the recent high of its lower band. These are not market orders. Ocean Park utilizes this Discipline directly in the management of non-affiliated holdings. Where Ocean Park invests in its affiliated Ocean Park Mutual Funds or Ocean Park ETFs ("Affiliated Funds"), the same Discipline is applied at the underlying funds level, not on the Affiliated Funds themselves. Please see our Form ADV Part 2A for information on conflicts of interest that exist as a result of Ocean Park investing in Affiliated Fund.

<sup>2</sup>**Index Agnostic:** We don't select securities based on the holdings or exposures of any one index or group of indexes. Our index agnostic approach does not include our PT Blend target portfolio allocations. While the PT Blend Series employs Ocean Park's tactical and trend following investment process for its fixed income allocations, it specifically invests in index funds for its equity allocations.

Each ETF has specific risks and the Prospectus should be carefully read before investing.

ETF's are subject to specific risks, depending on the nature of the underlying strategy of the fund. These risks could include foreign risk, emerging market risk, liquidity risk, sector risk, as well as risks associated with fixed income securities, real estate investments, and commodities, to name a few.

While the shares of ETFs are tradeable on secondary markets, they may not readily trade in all market conditions and may trade at significant discounts in periods of market stress. ETFs trade like stocks, are subject to investment risk, fluctuate in market value and may trade at prices above or below the ETF's net asset value. Brokerage commissions and ETF expenses will reduce returns. There is no guarantee that the Fund will achieve its objective.

The Ocean Park funds are distributed by Northern Lights Distributors, LLC, member FINRA/SIPC. Ocean Park Asset Management, LLC is the investment adviser to the Ocean Park funds, and does not provide advisory services to retail clients.

Ocean Park Asset Management, LLC is not affiliated with Northern Light Distributors, LLC. Ocean Park Asset Management, LLC is not affiliated with Northern Light Distributors, LLC.



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