Naples Wealth Strategies Group

Investment Strategy: Focused Equity

INVESTMENT PHILOSOPHY

The purpose of the Focused Equity strategy is to hold a concentrated selection (typically 15 to 30 holdings) of securities that exhibit positive attributes from Fundamental & Technical analysis.

INVESTMENT MANAGER OR MANAGEMENT TEAM

Investment Manager - Richard P. Walker, Naples Wealth Strategies Group

20 Years with Raymond James

Masters of Science in Accountancy, DePaul University, 1987

IDEAL CLIENT

The strategy is designed to be a equity growth component of an overall investment strategy. While the strategy may, at times, hold a significant amount in cash, it seeks to capture growth in the markets comparative to a market index performance, such as the DOW Industrial Average.

INVESTMENT PROCESS

Fundamental Analysis & Research, as well Technical Analysis of the securities for Trend, Relative Strength to the overall market & within the security's peer group. Technical analysis will also evaluate factors such as market conditions of percentage "Oversold" or "Overbought", the economic conditions driving the moving average convergence & divergence of a security, as well as the overall market.
Selection is derived principally from stocks in the S&P 500 index, but is not exclusive to that index.
Occasionally, a stock may be included based upon it's attributions that is not in the S&P Index, but has been rated highly recommended by Raymond James research.

SELL DISCIPLINE

Factors that will influence a decision to sell a security will include
- whether the security has reached an intended target price.
- whether a material change/downgrade of recommended status has occurred.
- whether the technical trend pattern and relative strength has diminished.
- whether the overall market has exhibited a negative pattern or trend, displayed weakness, or decrease in bullish percentage.

CLIENT REVIEW

Choosing to invest in this Focused Equity strategy will be based on an evaluation of a client's specific situation and would be integrated with a client's overall portfolio, investment objectives, risk tolerance, age, income & net worth.
The amount/percentage a client may hold in this Focused Equity strategy will be determine by the characteristics above and will adjust over time.

CONTACT INFORMATION

Richard (Rick) Walker
Branch Manager
richard.p.walker@raymondjames.com
(239) 434-6613

The foregoing content reflects the opinions of the Investment Manager, and is subject to change at any time without notice. Content provided herein is for informational purposes only and should not be used or construed as investment advice or a recommendation regarding the purchase or sale of any security outside of a managed account. This should not be considered forward looking, and does not guarantee the future performance of any investment.

All investment are subject to risk, including loss. This is no assurance that any investment strategy will be successful. Asset allocation and diversification does not ensure a profit or protect against a loss. It is important to review the investment objectives, risk tolerance, tax objectives and liquidity needs before choosing an investment style or manager.

Consider Specific Investment Needs: This fact sheet is not intended to be a client-specific suitability analysis or recommendation. Do not use this fact sheet as the sole basis for investment decisions. Do not select an investment strategy based on performance alone. Consider all relevant information, including your existing portfolio, investment objectives, risk tolerance, liquidity needs and investment time horizon. Raymond James investment advisory programs may require a minimum asset level and, depending on your specific investment objectives and financial position, may not be suitable for you.

The individual(s) mentioned as the Investment Manager(s) are Financial Advisors with Raymond James participating in a Raymond James fee-based advisory program. This is an investment advisory program in which the client's Financial Advisor invests the client's assets on a discretionary basis in a range of securities.

In a fee-based account clients pay a quarterly fee, based on the level of assets in the account, for the services of a financial advisor as part of an advisory relationship. In deciding to pay a fee rather than commissions, clients should understand that the fee may be higher than a commission alternative during periods of lower trading. Advisory fees are in addition to the internal expenses charged by mutual funds and other investment company securities. To the extent that clients intend to hold these securities, the internal expenses should be included when evaluating the costs of a fee-based account. Clients should periodically re-evaluate whether the use of an asset-based fee continues to be appropriate in servicing their needs. A list of additional considerations, as well as the fee schedule, is available in the firm's Form ADV Part II as well as the client agreement.

ASSET CLASS RISK CONSIDERATIONS
Depending on the type of strategy in which you are investing, some or all of the following, risks may apply.

Equities: Investors should be willing and able to assume the risks of equity investing. The value of a client's portfolio changes daily and can be affected by changes in interest rates, general market conditions and other political, social and economic developments, as well as specific matters relating to the companies in which the portfolio has invested. Companies paying dividends can reduce or cut payouts at any time.
International investing involves special risks, including currency fluctuations, different financial accounting standards, and possible political and economic volatility.
Investing in emerging markets can be riskier than investing in well-established foreign markets. Emerging and developing markets may be less liquid and more volatile because they tend to reflect economic structures that are generally less diverse and mature and political systems that may be less stable than those in more developed countries.
Sectors: Portfolios that invest primarily in securities of companies in one industry or sector are subject to greater price fluctuations and volatility than portfolios that invest in a more broadly diversified portfolio.

The S&P 500 is an unmanaged index of 500 widely held stocks that's generally considered representative of the U.S. stock market. The Dow Jones Industrial Average (DJIA), commonly known as "The Dow" is an index representing 30 stock of companies maintained and reviewed by the editors of the Wall Street Journal.
Indices are not available for direct investment. Any investor who attempts to mimic the performance of an index would incur fees and expenses which would reduce returns.

Naples Wealth Strategies Group

4933 Tamiami Trail N, Ste 202, Naples, FL 34103 // (239) 434-6613

napleswealthstrategies.com