

About Q3

Q3 Asset Management was founded by professional traders. Our roots trace back to 1982 when Brad Giaimo began his career in the COMEX Gold Pit. In everything we do, we strive to help your clients achieve their financial goals by making our strategies responsive to ever-changing markets and simple to understand. We have deep roots in portfolio management and technical analysis and believe that our background, coupled with our expertise in quantitative investing, gives us an advantage over traditional methods of money management. We seek to participate in rising markets and reduce risk during unfavorable market conditions. Our experience has taught us that active investment management has become increasingly important in delivering an edge.

Q3 Wrap Accounts for 403(b) and 401(k) Participants

Looking for new ways to build new business? In addition to our SMA strategies in stand alone portfolios, we can help you leverage existing client relationships and pursue new opportunities with individuals at organizations which allow Q3 Management and fee deduction on existing retirement plans. Following is list of some plans we can accommodate. Plan details often change, so please call to verify any on the list, and there are more organizations not on the list, which we can investigate participation.

Fidelity 403(b) Plans:

Wisconsin

- American Society for Quality (ASQ)
- Aurora Healthcare Inc.
- Carthage College
- Chippewa Valley College
- Columbia Hospital
- HSHS TDA (St Mary's Hospital)
- Marquette University
- Midelfort Clinic
- Moraine Park Technical College
- St. Elizabeth's Hospital
- St. Francis Hospital
- St. Mary's Medical Center
- St. Norbert College
- St. Vincent Hospital
- University of WI Hospitals and Clinics
- WI Dept. of Public Instruction

Minnesota

- Centracare Clinic
- CentraCare Health System
- CentraCare Hospital/Health Care
- Duluth Independent SD 709
- Edina Public Schools
- University of Minnesota 403B
- University of Utah Hospital and Clinic

Iowa

- Act, Inc.
- Central College
- De Moines Area Community College
- Grinnell College
- Iowa State University
- University of North Iowa

For More Information:

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Schwab SDBA Plans

Wisconsin

- Augustana HealthCare
- Artisan Partners Holdings LP
- Barry-Wehmiller Co.
- Bostik Findley
- Cardiac Science Corporation
- Humana
- Kimberly-Clark Corporation
- Marshfield Clinic
- Mayo Clinic Health Eau Claire
- Milwaukee Electric Tool Corp
- Oshkosh Corporation
- Prevea Clinic Inc
- Rite-Hite Holding Corporation
- S C Johnson & Son Inc
- Stark & Roth LLC

- State of Wisconsin Deferred Comp Plan
- The Marcus Corporation
- Wipfli Ullrich Bertelson LLP
- City of Milwaukee 457 Plan

- Alliant Techsystems Inc 401k Plan
- Emergency Physicians Professional Assn

Minnesota

- Andersen 401k Plan
- Holiday Companies Profit & 401k Plan
- Entegris Inc 401K Savings & Profit G Plan
- The FSI Employee 401k Ret Plan
- The John Roberts Company Profit Plan
- Advantage Management Corporation

Iowa

- McFarland Clinic P C 401k Profit Plan
- Aegon USA LLC Profit Shrng Plan
- United Fire Group 401k Plan
- Wellmark Inc Savings and Inv. Plan
- HNI Corporation Profit-Sharing Ret Plan
- Pella Corporation Profit Sharing Plan
- Cedar Valley Medical Specialists

Available Strategies

TUG – TUG is a long/short/neutral strategy that attempts to take advantage of both bull and bear markets using strategic equity, treasury, and money market positions. Looking to capitalize on the non-correlation between equities and bonds, the program will assess which asset class provides the best opportunity considering prevailing market conditions. When the equity markets become indecisive, TUG seeks to take advantage of short-term trends in treasuries. Money market positions may also be utilized from time to time.

- TUG is an absolute return strategy with the potential to provide positive returns in up, down, and sideways markets
- The strategy is offered in three risk profiles, TUG0 (moderate), TUG1 (growth), and TUG2 (aggressive growth)
- The portfolio is reviewed daily, however, trades can last anywhere from days to months

Enhanced Allocation Sector—Enhanced Allocation Sector (EA-Sector) applies our quantitative investment ranking process to a universe of Fidelity sector and fixed income funds. The strategy systematically shifts out of underperforming sectors and into outperforming sectors every 45 days. EA-Sector incorporates our “Market Environment Filter” which is designed to allocate the portfolio to a defensive posture during unfavorable market periods. Our research indicates that the program will be invested in the top-ranked funds approximately 75% of the time and invested entirely in fixed income and money-market funds approximately 25% of the time. The strategy is offered in a conservative, moderate and growth risk profile.

- Momentum based sector rotation strategy
- Fund universe of roughly 40 equity sectors / sub-sectors & 11 bond funds
- Re-allocation every 45 days
- Utilizes our “Market Environment Filter” to shift defensive during adverse market conditions

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