



# Profitable Stock & ETF Strategies in a Volatile Market



**Carlton Neel**

*Chief Operating Officer at Chaikin Investments*

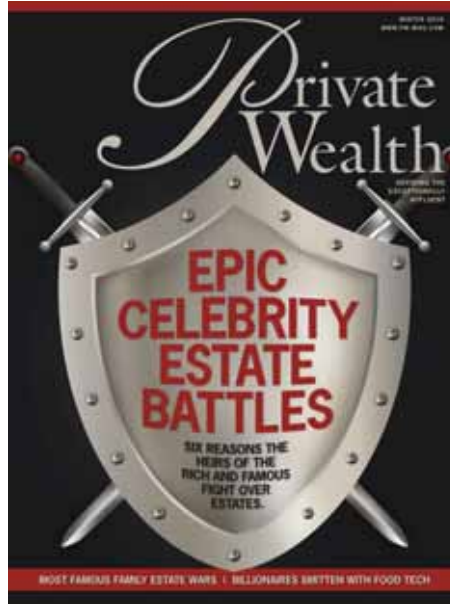
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# Carlton Neel

*Chief Operating Officer of Chaikin Investments*

- 27 years of investment experience
- Vice President at JPMorgan- started career in 1990
- Mutual fund portfolio manager for 21 years
- Mentored by the legendary Dr. Martin Zweig
- Senior portfolio manager on multiple Zweig funds

What will you **discover** today?



## **#1. Avoid Danger & Risk**

How to Minimize Client Exposure



## **#2. Position for Growth**

Generate New Ideas



## **#3. Enhance Client Communications**

Done-For-You Research



## **#4. Save Valuable Time**

End Information Overload

Let's set some **context** first.



Shaded areas indicate U.S. recessions

Source: U.S. Bureau of Labor Statistics

fred.stlouisfed.org

**FRED** — Housing Starts: Total: New Privately Owned Housing Units Started



Shaded areas indicate U.S. recessions

Source: U.S. Bureau of the Census

fred.stlouisfed.org

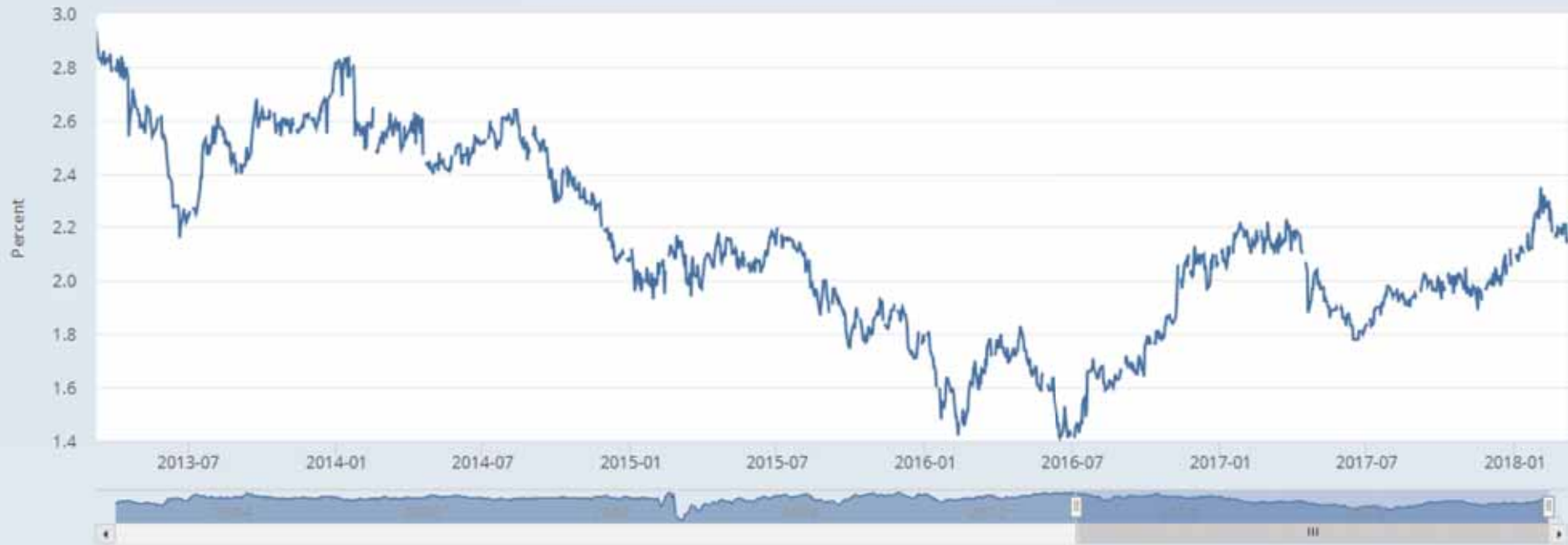




Shaded areas indicate U.S. recessions

Source: Organization for Economic Co-operation and Development

fred.stlouisfed.org



Shaded areas indicate U.S. recessions

Source: Federal Reserve Bank of St. Louis

fred.stlouisfed.org

Symbol

SVIX

Period

Daily

Update

Inspect

**\$VIX** Volatility Index - New Methodology INDX

© StockCharts.com

14-Mar-2018 3:28pm

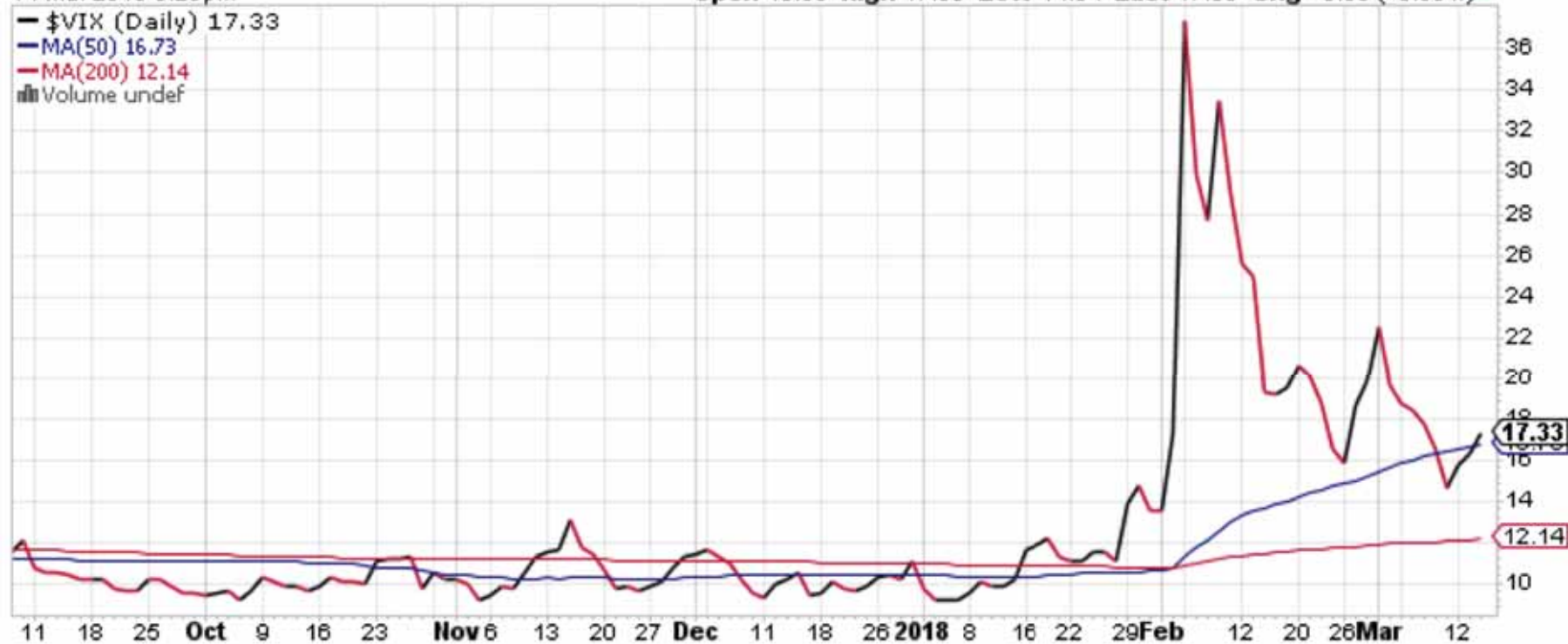
Open 16.59 High 17.59 Low 14.94 Last 17.33 Chg +0.98 (+5.99%) ▲

— \$VIX (Daily) 17.33

— MA(50) 16.73

— MA(200) 12.14

■ Volume undef



1d 1yr 5yr EPS



CMF Strong



## Declines in the S&P 500 (Since 12/31/1945)

Decline %	Number of Declines	Average Decline %	Average Length of Decline in Months	Average Time to Recover in Months
5-10	75	(6)	1	1
10-20	27	(13)	4	3
20-40	8	(27)	11	14
40+	3	(51)	22	57

## **#1. Avoid Danger & Risk to Minimize Client Exposure:**

Identify early warning signs for when to sell or reduce a position, or avoid all together.

## **#2. Position for Growth by Generating New Ideas**

Identify stocks and ETFs with the highest potential to outperform from volatility.

## **#3. Enhance Client Communication with Done-For-You Research**

Monitor client portfolios & holdings, instantly access research reports for ~5,000 stocks, validate investment ideas with 3rd party research.

## **#4. Save Valuable Time by Ending Information Overload**

Analyze information in a fraction of the time so that you can move on to other tasks and clients.

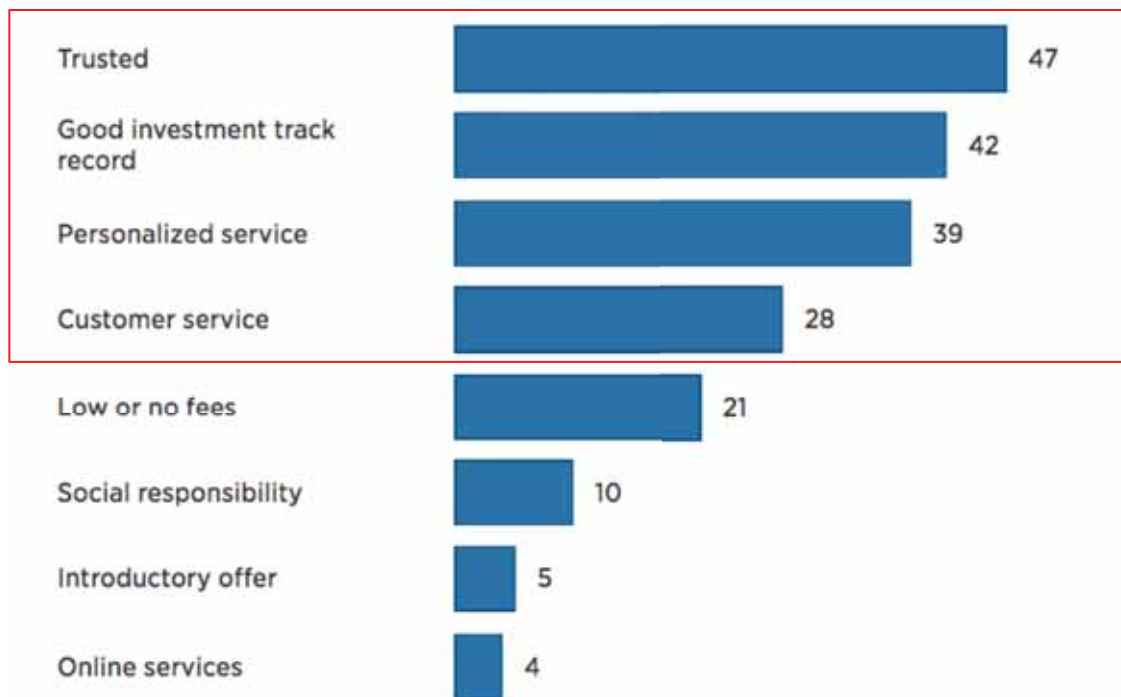


# Danger and Risk

How to Minimize Client Exposure

# Why did you originally select your financial advisor?

(Numbers are in %)



Source: Qualtrics



You **need to be out** of the names that  
are going to do the **damage**.

How do you identify the **risk**?

# The Chaikin Power Bar



Bull: Bear Ratio

What's the **“danger level”** in your client's portfolios?

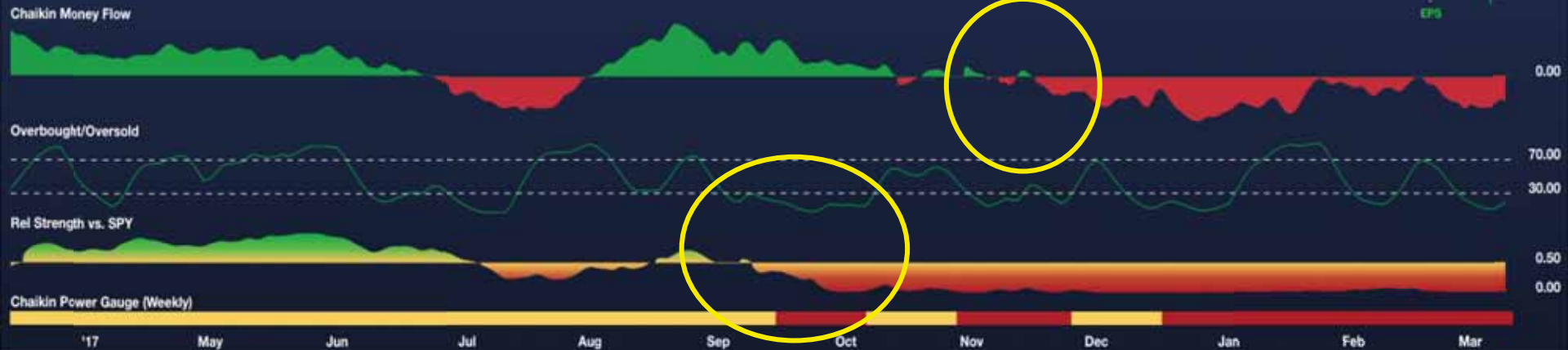
Chart	Symbol	Name	Power Bar ▾	Last	6 Mos
<input checked="" type="checkbox"/>	XLF	Financials		28.91	18.14%
<input checked="" type="checkbox"/>	XLI	Industrials	↑	76.36	1.75%
<input checked="" type="checkbox"/>	XLK	Technology		68.90	18.22%
<input type="checkbox"/>	XLV	Health Care		84.71	1.16%
<input checked="" type="checkbox"/>	SPY	S&P 500		272.78	10.74%
<input type="checkbox"/>	XLB	Materials	↑	60.18	8.39%
<input type="checkbox"/>	XLY	Consumer Discretionary	↓	104.29	16.42%
<input type="checkbox"/>	XLE	Energy		67.19	2.97%
<input type="checkbox"/>	XLP	Consumer Staples		53.76	-1.75%
<input type="checkbox"/>	XLRE	Real Estate		30.53	-6.29%
<input type="checkbox"/>	XLU	Utilities		48.90	-10.13%

What does “**danger**” actually look like?



1d 1yr 5yr [Settings] **EPS** [Up/Down]

- Financials [Slider]
- Earnings [Slider]
- Technical [Slider]
- Experts [Slider]



# The Chaikin Power Gauge Rating

**A Clear Summary of a Stock's Potential**

*- with a History of Success*





# The Chaikin Power Gauge Rating

- **20 factor** quantitative model
- Combines fundamentals, technicals, earnings, and expert sentiment into a single rating:
  - *Green for Bullish, Red for Bearish*
- **Gives you a quick, confident read on any stock**
- Ends information overload





## Financials

- LT Debt to Equity Ratio
- Price to Book Value
- Return on Equity
- Price to Sales Ratio
- Free Cash Flow

## Earnings

- Earnings Growth
- Earnings Surprise
- Earnings Trend
- Projected P/E Ratio
- Earnings Consistency

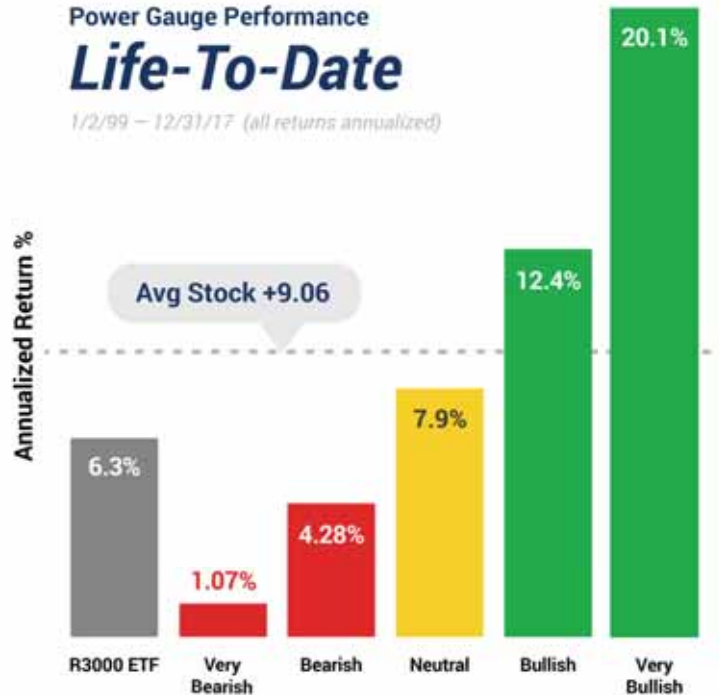
## Technicals

- Price Trend
- Price Trend Rate of Change
- Chaikin Money Flow
- Relative Strength vs. Market
- Volume Trend

## Experts

- Earnings Estimate Trend
- Short Interest
- Insider Activity
- Analyst Ratings
- Industry Relative Strength

# The Chaikin Power Gauge is simple, but not simplistic. **It is powerful, and proven.**



## Performance by Rating



## BENCHMARKS

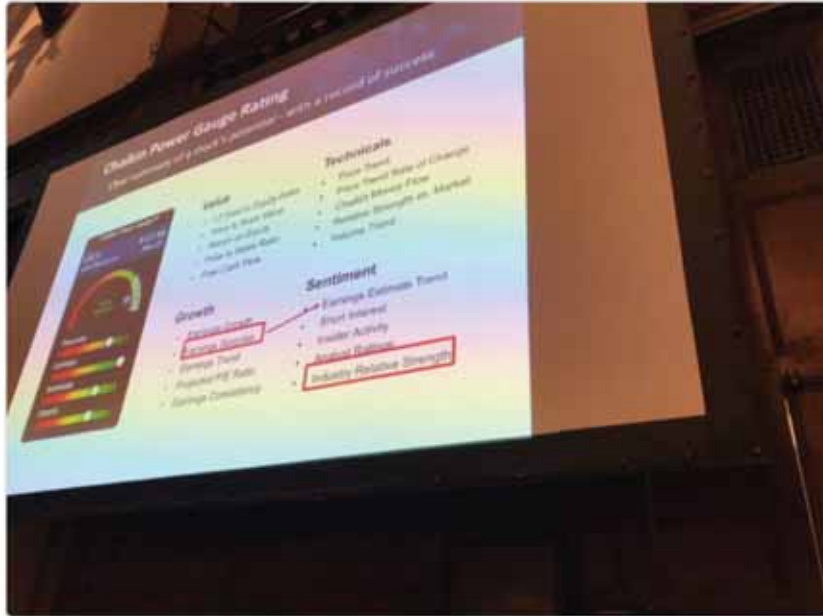


\*performance results combines backtesting and real world performance



**Jim Cramer** @jimcramer · Oct 28

Chaikin Analytics model is the best: used at my old hedge fund!  
[chaikinanalytics.com](http://chaikinanalytics.com) #CramerTeachIn



7 24 45

“**Chaikin Analytics’** model is the best: used at my old hedge fund!” - *Jim Cramer*

**Avoid** those areas where  
there are problematic names,  
because you'll lose money.

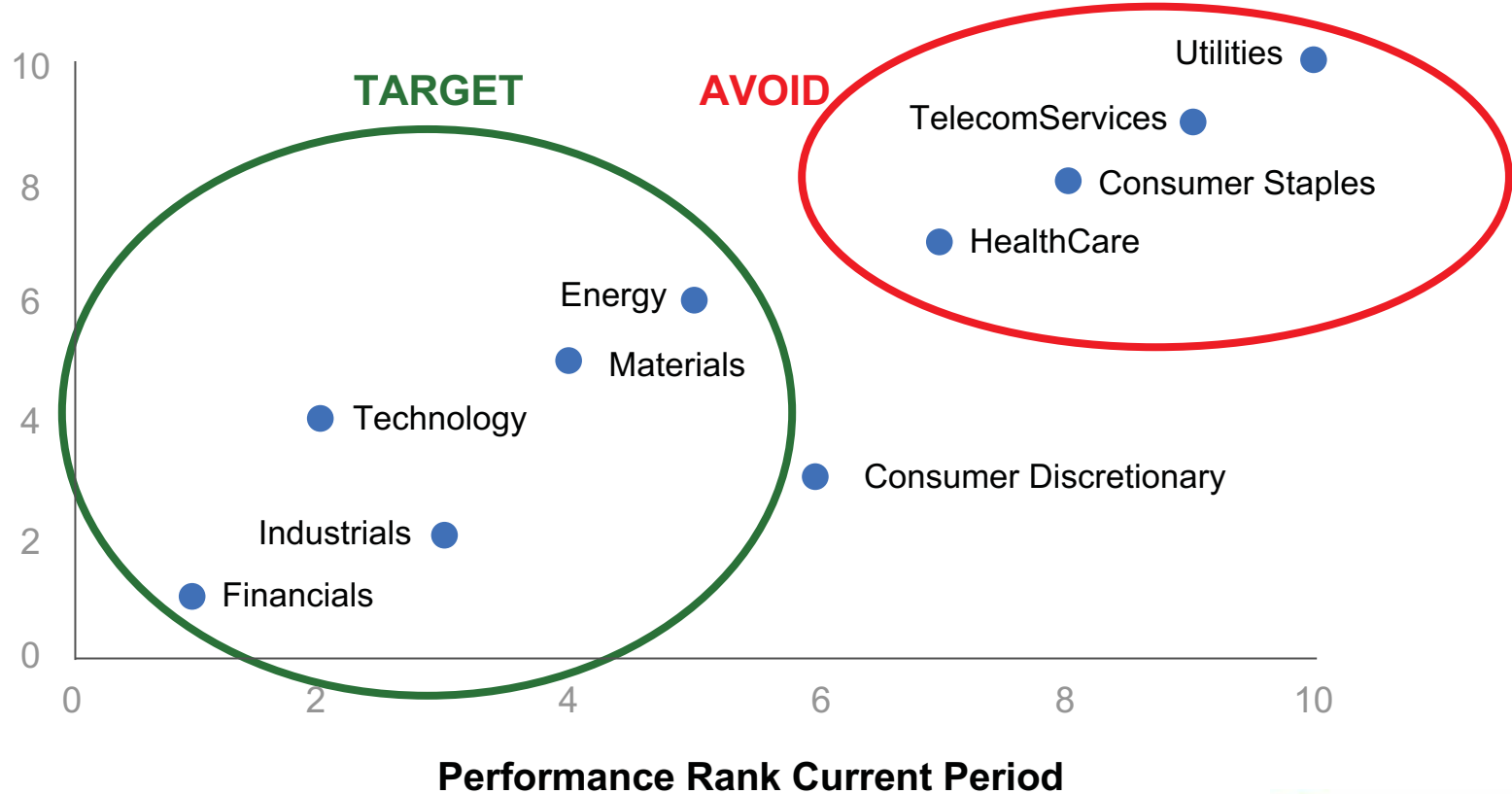
# Position For Growth

## Generating New Ideas



# Which **Sectors** and **Industries** do well?

# Sector Performance When Interest Rates are Rising






# Sector Fundamental Potential using Power Bars



Screen for  
stocks in  
strong sectors  
with **bullish**  
characteristics.

Stock Screen *untitled* Results 17 Sort By: Rating Save List

Stock Universe: Select a Sector... 67  
XLF - Financials Sector

Rating   
Power Gauge Rating is Very Bullish 17

Factors

- Free Cash Flow ---
- Price to Sales ---
- Price to Book ---

Performance


- Price Return 1 mo ---
- Price Return 2 1 mo ---
- Return vs. SPY 1 mo ---

Technicals


















- Price Level ---
- Price Level 2 ---
- Money Flow ---
- Rel Strength ---
- Relative Volume ---
- Min Price ---
- Max Price ---


Fundamentals

- Market Cap Mid & Large Cap 17
- Div Yield ---
- Earnings Date ---
- Beta ---

Signals   
Stock has had ---

HELP SCREEN RESET

<b>BAC</b> Bank Of Amer Cp 32.12 (-0.74%) 	<b>BRK.B</b> Berkshire Hth-B 207.01 (-1.01%) 	<b>CFG</b> Citizens Fin Cp 45.48 (-0.55%) 	<b>ETFC</b> E Trade Finl Cp 57.21 (+0.39%) 
<b>KEY</b> Keycorp New 20.95 (-1.92%) 	<b>L</b> Loews Corp 51.34 (+0.2%) 	<b>NDAQ</b> Nasdaq Inc 84.48 (-0.9%) 	<b>NTRS</b> Northern Trust 107.07 (-1.36%) 
<b>PGR</b> Progressive Cor 61.14 (+1.88%) 	<b>PNC</b> Pnc Finl Svc Cp 158.50 (-1.24%) 	<b>RF</b> Regions Finl Cp 19.44 (-1.37%) 	<b>RJF</b> Raymond Jas Fin 96.22 (-1.06%) 
<b>STI</b> Suntrust Bks 71.32 (-1.31%) 	<b>STT</b> State St Corp 105.90 (-1.33%) 	<b>TROW</b> T Rowe Price 115.02 (-1.08%) 	<b>TRV</b> Travelers Cos 139.23 (-1.04%) 
<b>ZION</b> Zions Bancorp 54.79 (-1.72%) 			



1d 1yr 5yr EPS

- Financials
- Earnings
- Technicals
- Experts





1d 1yr 5yr EPS

- Financials
- Earnings
- Technicals
- Experts



- U.S. Equity ETFs
- SPDR Sectors (11)
- SPDR Subsectors (22)
- Index ETFs (10)
- Grouped By
  - Sector
  - Style
    - All Cap Blend (46)
    - All Cap Growth (8)
    - All Cap Value (11)
    - Large Cap Blend (95)
    - Large Cap Growth (31)
    - Large Cap Value (36)
    - Mid Cap Blend (21)
    - Mid Cap Growth (10)
    - Mid Cap Value (11)
    - Small Cap Blend (40)
    - Small Cap Growth (12)
    - Small Cap Value (13)
- Strategy
- Issuer
- Other ETFs
  - Alternative ETFs
  - Bond ETFs
  - Commodity ETFs
  - Currency ETFs
  - Global ETFs

### Comparing XLF to other SPDR Sectors ETFs

Chart	Symbol	Name	Power Bar	Last	6 Mos
<input checked="" type="checkbox"/>	XLF	Financials		28.95	16.29%
<input checked="" type="checkbox"/>	XLK	Technology		69.85	19.34%
<input checked="" type="checkbox"/>	XLI	Industrials		76.32	10.78%
<input type="checkbox"/>	XLV	Health Care		85.63	5.61%
<input checked="" type="checkbox"/>	SPY	S&P 500		275.22	11.80%
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<input type="checkbox"/>	XLY	Consumer Discretionary		105.74	18.60%
<input type="checkbox"/>	XLE	Energy		67.65	2.32%
<input type="checkbox"/>	XLP	Consumer Staples		53.86	0.48%
<input type="checkbox"/>	XLRE	Real Estate		31.20	-2.71%
<input type="checkbox"/>	XLU	Utilities		49.91	-6.51%



### XLF - Financial Select Sector SPDR Fund

Over the past 6 months, the Financials sector has outperformed the S&P 500 by +4.49%. Its Power Bar ratio, which measures future potential, is **Very Strong** with more Bullish than Bearish stocks. It is currently ranked #1 of 10 Sectors.

Holds:	<b>Equities</b>	Dividend Yield:	1.38%
Long/Short:	<b>Long</b>	Assets	133.60b
Management:	<b>Passive</b>	Avg Daily Vol:	75.58m
Expense Ratio:	<b>0.12</b>	Beta:	1.13

### Top Holdings

	<b>JPM</b>	11.55%
	<b>BRK.B</b>	11.36%
	<b>BAC</b>	8.82%
	<b>WFC</b>	7.45%
	<b>C</b>	5.75%
	<b>GS</b>	2.67%
	<b>USB</b>	2.47%
	<b>Other</b>	49.92%



See all in Workspace

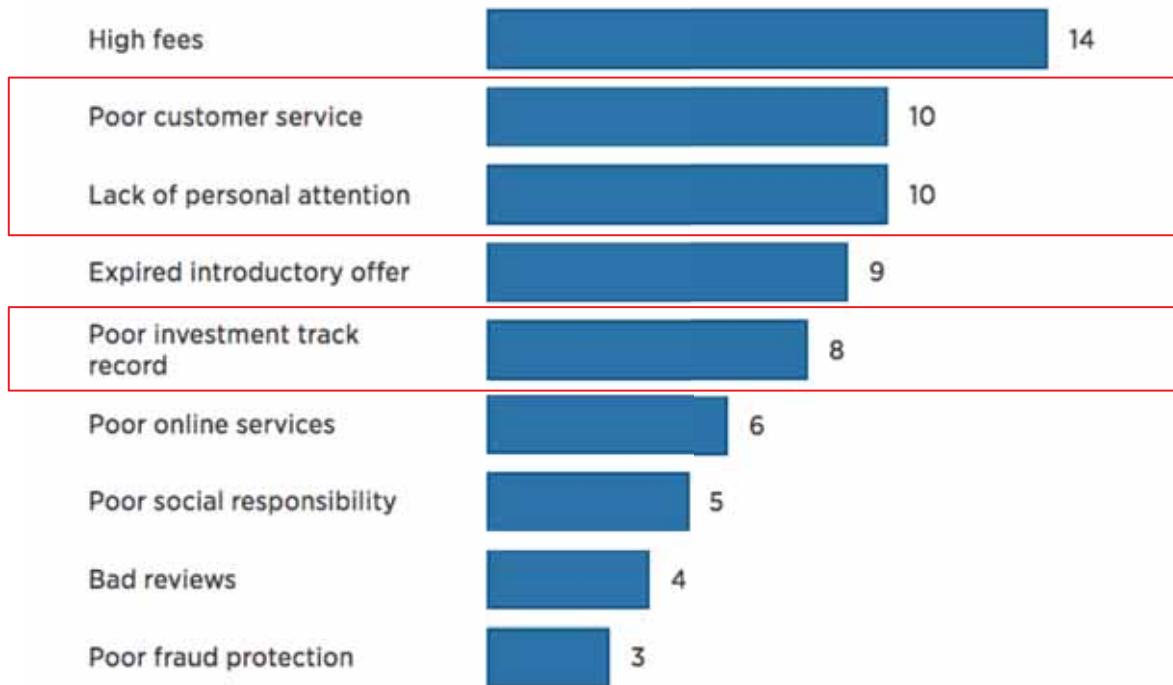


# Enhance Client Communication

with Done-For-You Research

# Why have you switched your advisor in past 10 years?

(Numbers displayed are %)



Source: Qualtrics



# Chaikin Portfolio Health Check

operations@chaikinanalytics.com

SPY - SP500

Week of 11-Mar 2018

## Prognosis

24% of your stocks are likely to outperform the market over the next 3-6 months.

119 of your 492 stocks are rated **Bullish or Very Bullish**.

79 of your stocks are **Bearish**: AIV, ALB, AMD and 76 more.



## Last Week In Your Portfolio

The S&P was **UP 3.64%** last week. Your stocks were **UP** an average of **3.45%**



XL	ADSK	WYNN
+28.57%	+19.85%	+15.84%



KR	DLTR	MAT
-11.96%	-11.22%	-10.44%

## Power Gauge Alerts



These stocks turned Bullish

MPC	GOOGL	CINF
TAP	ETFC	PFE
RJF	STT	WDC



These stocks turned Bearish

NWL	DG	KR
MAA	KIM	HSY
PAYX	QCOM	VNO

# Portfolio Health Check

*Customized for your portfolios*





## Appld Matls Inc (AMAT)

Industry: Misc Technology

Chaikin Power Gauge Report – Generated: Wed Mar 14 09:45 EDT 2018



### Power Gauge Rating

Very Bullish

The Chaikin Power Gauge Rating for AMAT is Very Bullish due to very strong earnings performance, very strong price/volume activity and very positive expert activity.

AMAT's earnings performance is very strong as a result of high earnings growth over the past 3-5 years and consistent earnings over the past 5 years.

### Power Trend - 5 Year Chart



# Power Gauge Reports

*Third Party,  
Independent Research.*

## “ Supported by your research....”

“I cannot express how well received this has been... clients love the information and more importantly TRUST the information. **In one situation the client invested an additional \$500,000 in her portfolio just because she could see that my recommendations were supported by your research.**”

**Tim K.**

*Chaikin Analytics  
Subscriber  
& Wealth Manager*



**Get a quick confident read on any U.S stock in seconds with the **Chaikin Power Gauge** rating.**





# Save Valuable Time

Everything You Need To Know  
About a Stock in One Place



Barron's named Chaikin Analytics one of the **“top websites for quantitative stock analysis.”**

## “ “ *My analysts are enthusiastic users of Chaikin Analytics*

“**My analysts are enthusiastic users of Chaikin Analytics** and use it to analyze the trades and recommendations of our writing team, giving them feedback and insight into their own ideas.



**John Mauldin**

*Financial Expert &  
Chairman of Mauldin  
Economics*

**Marc’s system has been integrated into our routine due-diligence** process for vetting and evaluating potential investments.”





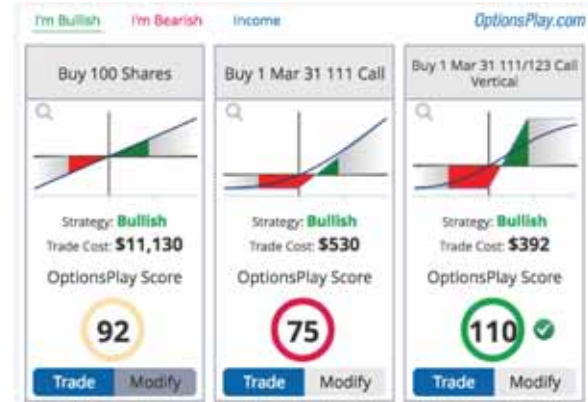
***20 factor model combining  
fundamental and technical factors***



***Stock discovery engine for  
matching idea generation***

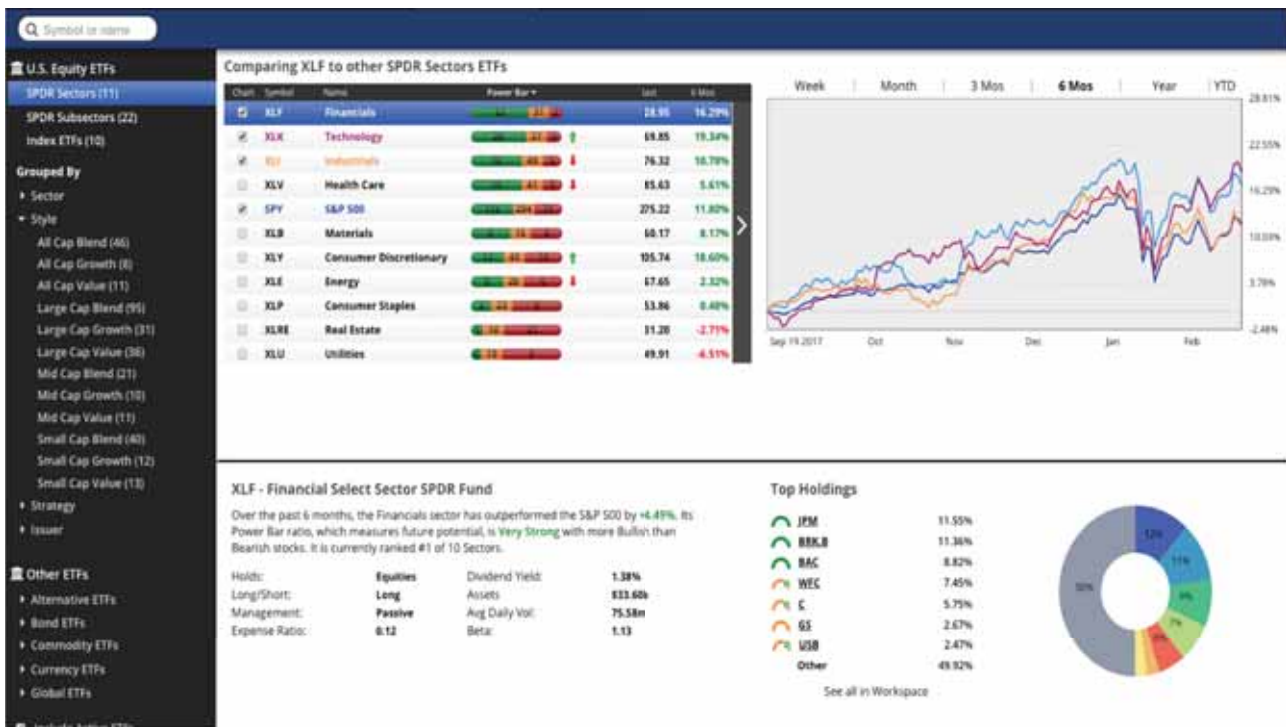


***Screen for winners with  
Chaikin Power Gauge rating***



***Discover options strategies for  
clients with an options focus***





*Pick the right ETFs for your clients*



**Chaikin Analytics**  
**\$2,195** a year



# Chaikin Analytics

~~\$2,195~~ a year

**\$1,795** (save \$400 a year)

*Webcast Special. Join Now and Save:*



**[www.ChaikinAnalytics.com/fintech](http://www.ChaikinAnalytics.com/fintech)**

*Expires Saturday, March 24th*

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- **Complete access to the members-only support resources** to get you up and running
- **Weekly commentary from Wall Street expert, Marc Chaikin**, with new investment ideas
- **Daily commentary from our Chief Market Strategist** to give you another independent perspective on your day

### **Interested in advanced options strategies?**

Your membership includes weekly sessions on options strategies and more.

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Chaikin Analytics helps identify the early warning signs for when to sell or reduce a position.

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# Q&A

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*Expires Saturday, March 24th*

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