

# ICON

ASSET MANAGEMENT



AIMA  
THE ALTERNATIVE INVESTMENT  
MANAGEMENT ASSOCIATION



Member of the Swiss  
Association of Wealth Managers | SAM

Weisses Schloss, General Guisan Quai 30, 3rd Floor, 8002 Zurich, Switzerland

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**ICON ASSET MANAGEMENT AG**  
*The Science of Investing*

# INTRODUCTION



**Based in Zurich, Switzerland,** Icon Asset Management was founded in 2006 and is a niche Swiss regulated alternative asset manager. The ICON team originated as global macro proprietary traders at Daiwa Securities in Frankfurt, Germany in 1995. We use this expertise and experience to evaluate and implement new and innovative technologies, to include A.I. enhanced systematic strategies, to offer our clients alpha generating products. Swiss FINMA regulated & SEC registered ERA 309138.



# THE SCIENCE OF INVESTING

## WHY ICON

Icon Asset Management AG is an innovative, niche Swiss asset management firm specialising in alternative investments.

Icon offers unique systematic & discretionary trading strategies within the alternatives space on a proprietary basis via collective investment schemes.

We partner with leading private banks in Zurich, Geneva and Lugano to offer our clients bespoke wealth management products to diversify and enhance their risk adjusted returns.

Our team arranges & consults on alternative products, portfolio management, private placements, private equity and structured product transactions with UHNW, Family Office and Institutional Investors.

## OUR TEAM



**Philip O'Keefe LL.M.**  
**ICON CCO/CRO**

Philip O'Keefe, Chief Risk Officer & Legal Officer and Supervisory Board Member at Icon, brings over 20 years of experience in asset management. He has held key positions at Jardine Lloyd Thompson PLC, Janus Henderson Investors in London, and other asset and wealth managers. Additionally, Philip has significant expertise in legal and regulatory compliance across the insurance, defense, and nuclear sectors.



**Thomas C. Holst**  
**ICON Partner**

Thomas drives strategic initiatives to integrate cutting-edge technology with traditional wealth management. With over 30 years of experience in global finance, PE and real estate, he focuses on innovation and operational excellence to offer tailored solutions for HNW clients. Thomas holds two MBAs and a CFFA certification and his leadership and experience allows ICON to remain a trusted partner & advisor for client wealth preservation.



**Richard T. Toolen**  
**CEO and ICON Founder**

Richard Toolen, CEO and founder of Icon, has over 25 years of experience in financial services as an investment banker and global macro trader. Before establishing Icon, he led trading desks in Dublin, Munich, and Gibraltar and later expanded Icon into a regulated Swiss entity focused on multi-asset trading and private wealth management for qualified investors.



**Ms. Michelle Addison**  
**ICON Compliance & Projects Manager**

Michelle is ICON's Compliance and Projects Manager, specializing in navigating complex financial regulations. She began her career as a paralegal in Vancouver in the 1990s and later moved to Zurich, working with firms like Schroder Trust AG. Michelle holds a STEP Diploma in International Trust Management and has experience as a Trust Officer, Compliance Officer, and Customer Services Manager.



**ICON is an active supporter of various veteran charity causes and is majority veteran owned.**



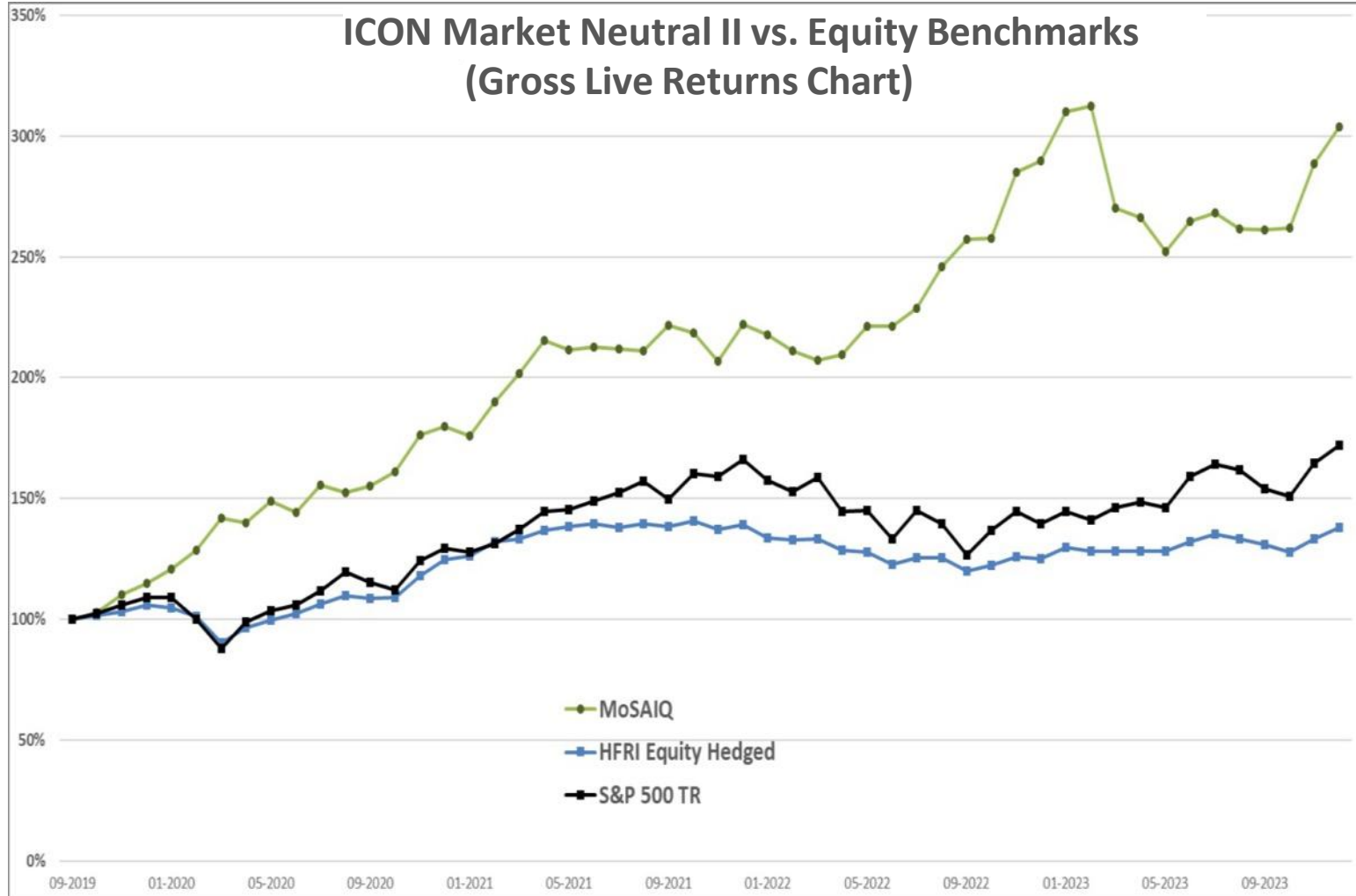


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# INVESTMENT STRATEGIES

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# ICON Market Neutral Strategy



Icon Market Neutral is an all-weather absolute return strategy that seeks to generate double digit average yearly returns throughout market cycles with limited to no negative years – an objective the strategy has met since inception.

## 7 Yr ICON Market Neutral Ratios

- Annualized IRR +17.73%
- Sharpe Ratio 1.47

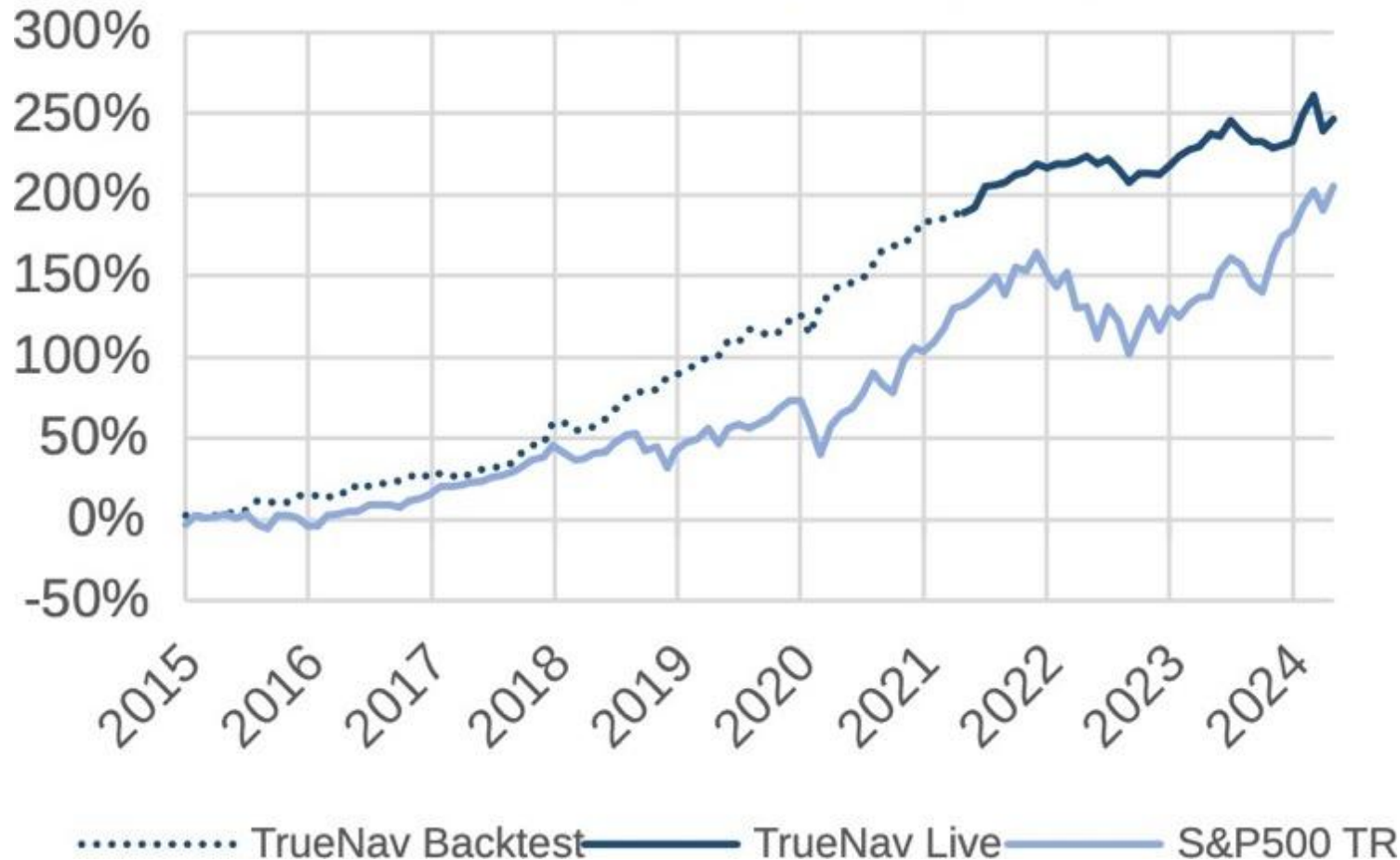


# ICON TRUENAV STRATEGY



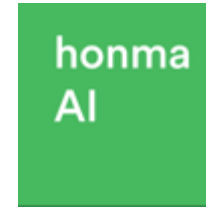
An investment strategy by  
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TrueNav vs S&P 500 (compounded returns)



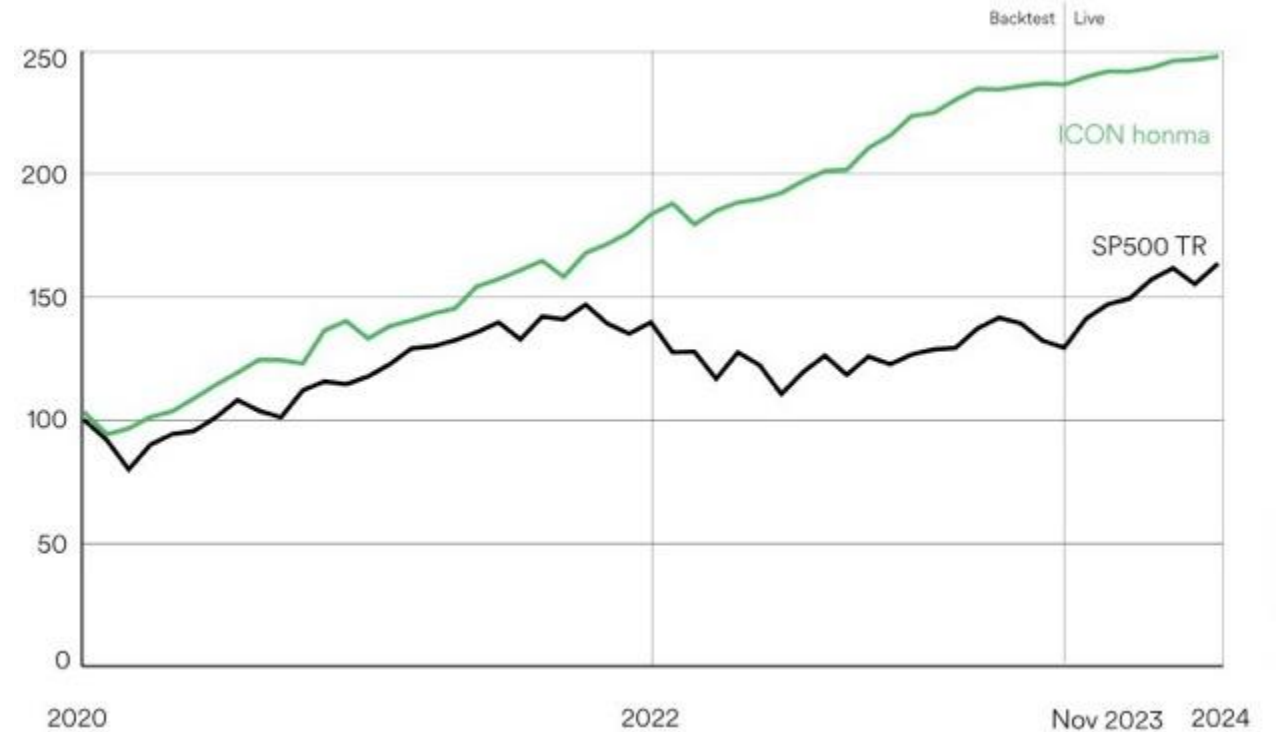
TrueNav utilizes long-premium/short-theta option positions to profit from short-term mean reversion of the stock market while limiting losses when momentum is dominant. The result is high risk-adjusted returns with a low correlation to the stock market.

# ICON honma AI Strategy



An investment strategy by  
**ICON**  
ASSET MANAGEMENT

- The strategy involves selling options of the most liquid US-listed Stocks to capitalize on market volatility with statistical arbitrage. Based on unique AI research developed by Swiss deep-tech innovator inait, honma AI created a proprietary option pricing and replication algorithm that allows to 1) enter in under- over evaluated equity options and 2) hedge them optimally to earn the difference between forecasted and market price. honma AI uses quantitative portfolio management to maintain a low beta and high Sharpe ratio, while minimizing informed trading risks.
- The ICON honma AI Volatility Strategy is a cooperation between ICON Asset Management and its subadvisor honma AI.



# ICON STRATEGIC CONSULTANCY

## ICON Strategic Consultancy Group

- **Mission:** Support defense and intelligence entrepreneurs
- **Team:** Backgrounds in military, government and NGO service
- **Technologies:** Effective, disruptive, and widely applicable

## Expertise & Achievements

- **Cybersecurity:** Led by former Head of Cyber Warfare at the White House; projects like Level 3 Zero Trust
- **Semiconductors:** Guided ARL semiconductor chip design company through two development stages
- **Investor Relations:** Balancing security needs with commercial demands

## Our Approach

ICON's unique expertise and solutions-based financial engineering ensure continuous success for both Swiss clients and investors. We remain dedicated to balancing security and commercial needs, driving evolutionary solutions in the Swiss marketplace.

## Service Areas

1. Capital Formation
2. Governance
3. Strategy
4. Business Development
5. Wealth Management & Estate Planning

## Commitment to Excellence

- **Network:** Maintains a robust network of subject matter experts
- **Differentiation:** Solutions-based Swiss financial engineering approach
- **Continuous Improvement:** Ongoing development and success for Swiss clients and investors



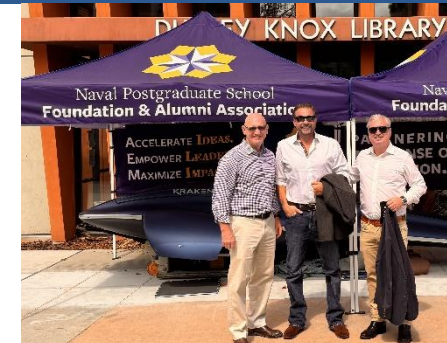
Thomas  
Colucci

Head of Strategic  
Consultancy



Heather  
McMahon

Consultant



ICON & Kraken @  
NPS Monterey  
September 2024



# CONTACTS



Email: [Info@IconAsset.com](mailto:Info@IconAsset.com)  
Tel: + 41 44 201 6410



Weisses Schloss  
General Guisan Quai 30  
8002 Zurich Switzerland



Swiss FINMA regulated.  
SEC Registered ERA 309138.  
CTA NFA 0508527