



EFG Asset Management (Americas) Corp.  
Brochure Supplement October 2023  
Part 2B of Form ADV: Individual Disclosure Brochure

**Hans Abate**

*Head of Portfolio Management  
Investment Adviser Representative*

*This brochure supplement provides information about **Hans Abate** that supplements the EFG Asset Management (Americas) Corp. (“EFG Asset Management” or “Adviser”) brochure. You should have received a copy of that brochure. Please contact Compliance at [miamicompliance@efgam.com](mailto:miamicompliance@efgam.com) or 305-482-8000 if you did not receive Adviser’s brochure or if you have any questions about the contents of this supplement.*

*Additional information about **Hans Abate** is also available on the SEC’s website at [www.Adviserinfo.sec.gov](http://www.Adviserinfo.sec.gov).*

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## **Item 2: Educational Background and Business Experience**

**Name:** Hans Abate  
**Born:** 1964

As Head of Portfolio Management for Adviser, Hans is responsible for the strategic development of the portfolio management team, the development and implementation of Adviser's strategies and overall investment selection. Hans also serves as the representative member for the Americas on the EFG Asset Management Global Asset Allocation Committee, geared towards the development of the EFG Asset Management's economic views and global asset allocation strategies. Hans is a registered Investment Adviser Representative with extensive knowledge and experience in advising clients with respect to their investments and actively managing discretionary accounts. He began his career in the industry in 1986 as a credit analyst and then transitioned into trading in domestic and foreign securities. Hans joined Adviser's predecessor, EFG Capital Asset Management LLC ("EFG Capital"), in 2005. Prior to joining EFG Capital, Hans was the Head of Investments for Dresdner Lateinamerika Financial Advisors ("Dresdner") for 11 years. His role at Dresdner covered portfolio and risk management, new product development and client advisory services, supporting institutional and private wealth management offerings. He also served as Dresdner's fixed income strategist and as an advisor for Dresdner's Latin American discretionary managed portfolios. Hans graduated from Roger Williams University with a Bachelor of Science degree in Business Administration, and a minor in Economics. He maintains Financial Industry Regulatory Authority ("FINRA") Series 7, Series 53 and Series 66 registrations.

## **Item 3: Disciplinary Information**

There are no legal or disciplinary events believed to be material to a client's or prospective client's evaluation of Hans' advisory activities. Hans has no reportable disciplinary history.

## **Item 4: Other Business Activities**

Hans maintains a Series 7 (General Securities Representative), Series 66 (Uniform Combined State Law) and Series 53 (Municipal Securities Principal) registrations as a Registered Representative of EFG Capital International Corp. ("EFG Brokerage"), a broker-dealer affiliate of Adviser. Hans, as a municipal securities principal of EFG Brokerage, may be involved with approving or analyzing the trading activity of EFG Brokerage in municipal securities. He is not engaged in any other investment-related activities with EFG Brokerage. He does not receive commission, bonuses or other compensation on the sale of securities or other investment products, including with respect to the sale of securities or other investment products by or to customers of EFG Brokerage or as a direct or indirect consequence of the trading activity conducted with respect to Adviser client accounts at EFG Brokerage. Trades are executed for Hans' Advisory client accounts directly or indirectly through EFG Brokerage. However, Adviser's policies require personnel who develop advice and recommendations for clients of Adviser, including Hans, to render only disinterested and impartial advice to clients and to comply with other fiduciary obligations.

Hans serves as President of Jan Bran, Inc., a beauty cosmetic distribution company operated and run by the employee's spouse. There is passive involvement with the day-to-day operations but anticipates attending various cosmetic conventions. Additionally, Hans serves as President of Kanusa Inc., a family holding company for his parent's residential apartment in Miami, FL. No compensation is received nor is there time spent on the activities during trading hours. Hans is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his time.

## **Item 5: Additional Compensation**

Hans does not receive any economic benefit from any non-advisory client for the provision of services.

## **Item 6: Supervision**

As an Investment Adviser Representative of Adviser, Hans works closely with Adviser's Compliance Department whose contact information is on the cover page of this disclosure document. Adviser's accounts are reviewed on an ongoing basis by the Adviser's Compliance department, as well as by management during quarterly investment control and risk committee meetings.



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**Janet Rodriguez**

*Portfolio Manager*

*Investment Adviser Representative*

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*Additional information about **Janet Rodriguez** is also available on the SEC’s website at [www.Adviserinfo.sec.gov](http://www.Adviserinfo.sec.gov).*

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## Item 2: Educational Background and Business Experience

**Name:** Janet Rodriguez  
**Born:** 1985

As a Portfolio Manager for Adviser, Janet is responsible for supporting the Head of Portfolio Management with respect to the implementation of investment strategies and overall investment selection. Janet is responsible for the Classic Investment Strategies, formerly Global Fund Select Relative Return Strategies (“GFS”) and implementation of rebalancing in single equity portfolios. She also meets with clients, advisors, prospective clients and family office advisors. She participates in various portfolio management team meetings for market review and asset allocation, model construction to then utilize Morningstar, FactSet and Bloomberg for fund peer comparison and aggregated exposure review. She participates in the weekly market meetings for the Financial Advisors at EFG Capital International Corp. (“EFG Brokerage”), a broker-dealer affiliated with the Adviser, in order to update them on discretionary solution product and service updates. Janet also leads the contribution and attribution reports, monitoring alpha from active fund managers, in the portfolio manager team meetings. She manages accounts through order generation, re-balancing portfolios, addressing pre-trade compliance, change of strategy implementation and cash management. She contributes to the quarterly commentary on market movements, strategy performance with attribution and portfolio positioning. Lastly, Janet participates in technological initiatives to enhance portfolio implementation tools. She meets with fund managers and wholesaler representatives for macroeconomic and fund updates. Janet began her career at Bulltack Capital Markets in 2009 as an Equity and Derivatives Trader, focusing on U.S. and international equities, U.S. options, pair trades and trade reporting. Janet joined EFG Brokerage in 2012 as Compliance Associate, addressing suitability analysis and implementation, and became a Junior Portfolio Manager for Adviser in 2013. Janet graduated from the University of Miami in 2008 with a degree in Business Administration, concentrating on Finance and Operations Research. She maintains Financial Industry Regulatory Authority (“FINRA”) Series 7, 4 and 66 registrations and holds the Chartered Financial Analyst (“CFA”) designation.

## Item 3: Disciplinary Information

There are no legal or disciplinary events believed to be material to a client’s or prospective client’s evaluation of Janet’s advisory activities. Janet has no reportable disciplinary history.

## Item 4: Other Business Activities

Janet maintains a Series 7 (General Securities Representative), Series 4 (Registered Options Principal) and Series 66 (Uniform Combined State Law) as a Registered Representative of EFG Brokerage. Janet is not engaged in any other investment-related activities with EFG Brokerage. She does not receive commission, bonuses or other compensation on the sale of securities or other investment products, including with respect to the sale of securities or other investment products by or to customers of EFG Brokerage or as a direct or indirect consequence of the trading activity conducted with respect to Adviser client accounts at EFG Brokerage. Trades are executed for Janet’s Adviser client accounts directly or indirectly through EFG Brokerage. However, Adviser’s policies require personnel who develop advice and recommendations for clients of Adviser, including Janet, to render only disinterested and impartial advice to clients and to comply with other fiduciary obligations.

Janet is a member of the Planning Committee and Peer Engagement Committee for 100 Women in Finance. Her responsibilities are assisting in the organization of meetings and promoting the local chapter / organization to local women. Responsibility also extends to participating in hosting or sponsoring an event such as the organization's philanthropic gala. No compensation is received nor is there time spent on the activity during trading hours. Janet also provides her own dog-sitting services on a weekend, holiday or on a seasonal basis and is compensated based on the level of service. Janet is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of her time.

## Item 5: Additional Compensation

Janet does not receive any economic benefit from any non-advisory client for the provision of services.

## Item 6: Supervision

As an Investment Adviser Representative of Adviser, Janet works closely with Adviser’s Compliance Department whose contact information is on the cover page of this disclosure document. Adviser’s accounts are reviewed on an ongoing basis by the Adviser’s Compliance department, as well as by management during quarterly investment control and risk committee meetings.



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**Jose “Joe” Canas**

*Senior Portfolio Manager  
Investment Adviser Representative*

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## **Item 2: Educational Background and Business Experience**

**Name:** Jose "Joe" Canas  
**Born:** 1973

Joe manages client investment strategies portfolios with a focus on the personalized option and Bespoke investment strategies. He brings over 15 years of experience in investment management, asset allocation, and security analysis, which makes him a valuable member of the Investment team and a significant resource to clients. Before joining Adviser, Joe served as the Senior Portfolio Manager of Biscayne Advisers in Miami, where he managed investment portfolios for private and institutional clients. He also worked as the Portfolio Manager of SF Partners, a family office catering to high-net-worth clients, and at IDEAglobal (Investment Analysis and Research). Joe earned his Master's in Business Administration from the William E. Simon Graduate School of Business Administration (University of Rochester), and his Bachelor's degree in Economics from the Pontificia Universidad Catolica Madre y Maestra (Santo Domingo, Dominican Republic). Joe holds the Chartered Financial Analyst ("CFA") designation, and he is fluent in English, Spanish, and French.

## **Item 3: Disciplinary Information**

There are no legal or disciplinary events believed to be material to a client's or prospective client's evaluation of Joe's advisory activities. Joe has no reportable disciplinary history.

## **Item 4: Other Business Activities**

Joe is not engaged in any other investment-related activities. He does not receive commission, bonuses or other compensation on the sale of securities or other investment products, including with respect to the sale of securities or other investment products by or to customers of EFG Capital International Corp. ("EFG Brokerage"), a broker-dealer affiliate of Adviser, or as a direct or indirect consequence of the trading activity conducted with respect to Adviser client accounts at EFG Brokerage. Trades are executed for Joe's Adviser client accounts directly or indirectly through EFG Brokerage. However, Adviser's policies require personnel who develop advice and recommendations for clients of Adviser, including Joe, to render only disinterested and impartial advice to clients and to comply with other fiduciary obligations. Joe is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his time.

## **Item 5: Additional Compensation**

Joe does not receive any economic benefit from a non-advisory client for the provision of services.

## **Item 6: Supervision**

As an Investment Adviser Representative of Adviser, Joe works closely with Adviser's Compliance Department whose contact information is on the cover page of this disclosure document. Adviser's accounts are reviewed on an ongoing basis by the Adviser's Compliance department, as well as by management during quarterly investment control and risk committee meetings.



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**Luiz Augusto Alencar Barros “Luiz Barros”**

*Senior Portfolio Manager*

*Investment Adviser Representative*

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*Additional information about **Luiz Barros** is also available on the SEC’s website at [www.Adviserinfo.sec.gov](http://www.Adviserinfo.sec.gov).*

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## **Item 2: Educational Background and Business Experience**

**Name:** Luiz Augusto Alencar Barros (“Luiz Barros”)  
**Born:** 1967

Luiz manages the implementation of the discretionary investment strategies and overall investment selection. In this role Luiz is also responsible for the rebalancing of client portfolios. Luiz has over 30 years of experience as a Senior Executive, Manager, Treasurer, and Trader mainly in investment banks, and private banks. Luiz has deep expertise in asset and liability management, fixed income, foreign exchange, risk management, investment management, investment solutions, structured products, client sales, project management and leadership skills. Throughout his career, Luiz worked in global organizations such as UBS, ING and Standard Bank. These organizations have distinguished reputations with international leadership and in their countries of origin are recognized in their niche markets.

Prior to joining the Adviser in August 2023, Luiz worked at BTG Pactual US Capital LLC in Miami, FL as an Associate Partner, Transaction Products, from Dec 2022 to June 2023. Prior to his stint with BTG Pactual, Luiz was employed with Kawa Capital Management in Aventura, FL as Managing Director from October 2021 to November 2022. Luiz joined affiliate banking entity - EFG Bank AG, Lugano, Switzerland, from 2016 to 2021 as Senior Vice President, Head of Asset & Liability Management and Investments.

Luiz has an MBA from Northwestern University, Kellogg School of Management jointly with WHU Otto Beisheim School of Management, Germany. He is fluent in English and Portuguese and maintains Financial Industry Regulatory Authority (“FINRA”) Series 7, Series 63 and Series 65 registrations.

## **Item 3: Disciplinary Information**

There are no legal or disciplinary events believed to be material to a client’s or prospective client’s evaluation of Luiz’s advisory activities. Luiz has no reportable disciplinary history.

## **Item 4: Other Business Activities**

Luiz maintains a Series 7 (General Securities Representative), Series 63 (Uniform Securities Agent State Law) and Series 65 (Uniform Investment Adviser Law) registrations as a Registered Representative of EFG Capital International Corp. (“EFG Brokerage”), a broker-dealer affiliate of Adviser. Luiz is not engaged in any other investment-related activities with EFG Brokerage. He does not receive commission, bonuses or other compensation on the sale of securities or other investment products, including with respect to the sale of securities or other investment products by or to customers of EFG Brokerage or as a direct or indirect consequence of the trading activity conducted with respect to Adviser client accounts at EFG Brokerage. Trades are executed for Luiz’s Adviser client accounts directly or indirectly through EFG Brokerage. However, Adviser’s policies require personnel who develop advice and recommendations for clients of Adviser, including Luiz, to render only disinterested and impartial advice to clients and to comply with other fiduciary obligations. Luiz is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his time.

## **Item 5: Additional Compensation**

Luiz does not receive any economic benefit from a non-advisory client for the provision of services.

## **Item 6: Supervision**

As an Investment Adviser Representative of Adviser, Luiz works closely with Adviser’s Compliance Department whose contact information is on the cover page of this disclosure document. Adviser’s accounts are reviewed on an ongoing basis by the Adviser’s Compliance department, as well as by management during quarterly investment control and risk committee meetings.