

# Dow Jones Value Dividend Focus Portfolio, Series 42

## Investment Objective

The Dow Jones Value Dividend Focus Portfolio, Series 42 (Trust) seeks to provide total return primarily through capital appreciation and current dividend income by investing in a portfolio of common stocks.

## Key Considerations

- **Dividend Focus:** Guggenheim believes that dividends are often a good indicator of a corporation's financial condition and may signal management's belief in a profitable future. As of the inception date, the Trust's historical annual dividend distribution is \$0.4308.<sup>1</sup>
- **The Importance of Value:** Value stocks have historically delivered consistent returns with lower risk than the overall market.<sup>2</sup> The Trust seeks to identify companies that have historically paid above average dividend income and have the highest potential for sustainable price appreciation over the life of the Trust.
- **Strength and Stability:** The Trust seeks to invest in stocks that Guggenheim believes are strong, stable and growing which may provide a buffer against market volatility in a well balanced portfolio.

**Past performance is not a guarantee of future results.** There is no guarantee that the trends and projections noted above will continue or come to fruition and they are subject to change.

<sup>2</sup> Morningstar, 8.31.2020.

## PORTFOLIO SUMMARY

<b>Inception Date</b>	9.17.2020
<b>Termination Date</b>	12.17.2021
<b>Initial Offer Price</b>	\$10.00
<b>Number of Issues</b>	50
<b>Historical Annual Dividend Distribution<sup>1</sup></b>	\$0.4308
<b>Distributions</b>	25th day of each month commencing on 10.25.2020, if any

## TICKETING INFORMATION

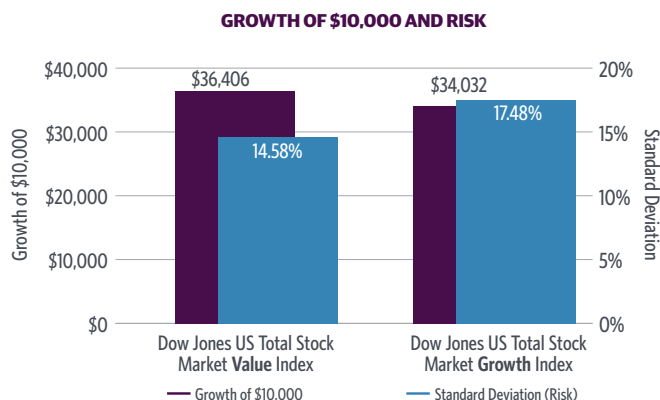
<b>CUSIP (cash payment)</b>	40175X664
<b>CUSIP (reinvestment accounts)</b>	40175X672
<b>CUSIP (fee-cash)</b>	40175X680
<b>CUSIP (fee-reinvest)</b>	40175X698
<b>Ticker</b>	CRBDQX

<sup>1</sup>The Historical Annual Dividend Distribution (HADD) is as of the day prior to trust deposit and subject to change. There is no guarantee the issuers of the securities included in the Trust will declare dividends or distributions in the future. **Due to the negative economic impact across many industries caused by the recent COVID-19 outbreak, certain issuers of the securities included in the Trust may elect to reduce the amount of, or cancel entirely, dividends and/or distributions paid in the future. As a result, the HADD figure will likely be higher, and in some cases significantly higher, than the actual distribution rate achieved by the Trust.** The HADD of the securities included in the Trust is for illustrative purposes only and is not indicative of the Trust's distribution rate. The HADD is the weighted average of the trailing twelve-month distributions paid by the securities included in the portfolio and is reduced to account for the effects of fees and expenses, which will be incurred when investing in the Trust. The HADD will vary due to certain factors that may include, but are not limited to, a change in the dividends paid by issuers, a change in Trust expenses or the sale or maturity of securities in the portfolio.

## The Value of Dividends

Dividends, if reinvested, can have a material impact on a portfolio's total return over time. Value companies are generally known for higher dividends than growth companies, which tend to reinvest in the company rather than payout dividends. Over time, the combination of dividends and less volatility can lead to outperformance for value stocks, as seen in the chart below. A contributing factor in the outperformance is the impact of reinvested dividends, which account for almost 60% of the total return.

Guggenheim created the Dow Jones Value Dividend Focus Portfolio for investors seeking a diversified portfolio of attractively valued stocks which have historically paid above average dividend income. The Trust consists of stocks which have strong fundamentals with the potential to offer additional price appreciation while also paying out attractive dividend income, which may help reduce volatility when added to an investor's overall portfolio.



Source: Morningstar, 9.1.2000-8.31.2020. **Past performance is no guarantee of future results.** There is no guarantee that the trends and projections noted above will continue or come to fruition and they are subject to change. **Standard Deviation** is a measure of historical volatility that indicates the degree to which an investment's returns fluctuate around its average return. Generally, a higher standard deviation indicates a more risky investment. The **Dow Jones US Total Stock Market Value Index** includes those equities designated as value stocks in the Dow Jones US Total Stock Market Index. The **Dow Jones US Total Stock Market Growth Index** includes those equities designated as growth stocks in the Dow Jones US Total Stock Market Index.

## Security Selection

### Starting Selection

All mid- and large-size companies listed in the Dow Jones U.S. Top-Cap Value Total Stock Index.\*

### Multi-Factor Security Evaluation

Identifies higher yielding, more stable companies by screening out companies with unattractive characteristics, such as low dividend yields and higher price volatility.

### Apply Risk Premium Model

Identify 100 companies with the highest Santa Monica Quantitative (SMQ) Alpha Score.\*\* Select and weight companies with the highest dividend yield (with a 5% maximum weighting).

### Final Portfolio

Dow Jones Value Dividend Focus Portfolio

\* The Dow Jones U.S. Top-Cap Value Total Stock Index includes equities both designated as "value" stocks and included among the 1,000 largest publicly traded companies as ranked by market capitalization within the Dow Jones U.S. Total Stock Market Index.

\*\* The SMQ score is Guggenheim's proprietary indicator that ranks companies based upon forward-looking expectations versus current market prices.

**The Dow Jones Value Dividend Focus Portfolio, Series 42 is a Unit Investment Trust.**

**RISK CONSIDERATIONS:** As with all investments, you may lose some or all of your investment in the Trust. No assurance can be given that the Trust's investment objective will be achieved. The Trust also might not perform as well as you expect. This can happen for reasons such as these: • Securities prices can be volatile. The value of your investment may fall over time. Market value fluctuates in response to various factors. These can include stock market movements, purchases or sales of securities by the

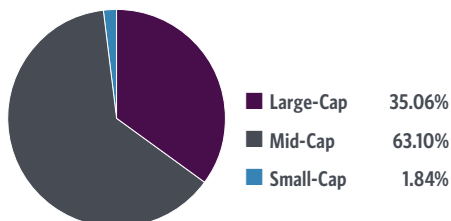
Trust, government policies, litigation, and changes in interest rates, inflation, the financial condition of the securities' issuer or even perceptions of the issuer. Changes in legal, political, regulatory, tax and economic conditions may cause fluctuations in markets and securities prices, which could negatively impact the value of the Trust. Additionally, events such as war, terrorism, natural and environmental disasters and the spread of infectious illnesses or other public health emergencies may adversely affect the economy, various markets and issuers. Recently, the outbreak of a novel and highly contagious form of coronavirus ("COVID-19") has adversely impacted global commercial activity and contributed to significant **(CONTINUED ON REVERSE)**

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## Portfolio Allocation

Breakdown and weightings are as of 9.16.2020 and subject to change.

### CAPITALIZATION BREAKDOWN



### SALES CHARGES

Sales Charge (S/C) is based on a \$10 per unit offering price.

Standard Accounts	Amount Per Unit	Percentage of Public Offering Price
Deferred S/C <sup>3</sup>	\$0.135	1.35%
Creation and Development (C&D) Fee	\$0.050	0.50%
<b>Total S/C</b>	<b>\$0.185</b>	<b>1.85%</b>
Fee/Wrap Accounts <sup>4</sup>		
Creation and Development (C&D) Fee	\$0.050	0.50%
<b>Total S/C</b>	<b>\$0.050</b>	<b>0.50%</b>

<sup>4</sup> The deferred sales charge (DSC) is a fixed amount and will be deducted in monthly installments on the last business day commencing January 2021 and ending March 2021 or upon early redemption. For unit prices other than \$10, percentages of C&D fees, and DSCs will vary but in no event will the maximum sales charge (S/C) exceed the total S/C. Early redemption of units will still cause payment of the DSC. However, an initial sales charge, which is equal to the difference between the maximum S/C and the sum of any remaining deferred S/C charges and C&D, will be charged if the price paid for units exceeds \$10 per unit.

<sup>5</sup> For unit prices other than \$10, percentage of the C&D fee will vary.

The Dow Jones U.S. Top-Cap Value Total Stock Index, a licensed trademark of CME Group Index Services LLC ("CME"), has been licensed for use. "Dow Jones U.S. Top-Cap Value Total Stock Index" and "Dow Jones Indexes" are service marks of Dow Jones Trademark Holdings, LLC ("Dow Jones"), and have been licensed for use for certain purposes by Guggenheim Funds Distributors, LLC ("Guggenheim Funds") and Guggenheim Funds' Dow Jones Value Dividend Focus Portfolio is not sponsored, endorsed, sold or promoted by Dow Jones, CME or their respective affiliates. Dow Jones, CME and respective affiliates make no representation or warranty, express or implied, to the owners of the Trust or any member of the public regarding the advisability of trading in the Trust.

**RISK CONSIDERATIONS (CONTINUED)** volatility in certain markets. Many governments and businesses have instituted quarantines and closures, which has resulted in significant disruption in manufacturing, supply chains, consumer demand and economic activity. The potential impacts are increasingly uncertain, difficult to assess and impossible to predict, and may result in significant losses. Any adverse event could materially and negatively impact the value and performance of trust and the Trust's ability to achieve its investment objectives. • Share prices or dividend rates on the securities in the Trust may decline during the life of the Trust and there is no guarantee that the issuers of the securities will declare dividends in the future and, if declared, whether

## PORTFOLIO HOLDINGS

Holdings, breakdown, and weightings are as of 9.16.2020 and subject to change.

Symbol	Company Name	Symbol	Company Name
<b>Communication Services (11.30%)</b>		<b>Health Care (7.95%)</b>	
CTL	CenturyLink, Inc.	AMGN	Amgen, Inc.
OMC	Omnicom Group, Inc.	CVS	CVS Health Corporation
IPG	The Interpublic Group of Companies, Inc.	GILD	Gilead Sciences, Inc.
VZ	Verizon Communications, Inc.	MRK	Merck & Company, Inc.
<b>Consumer Discretionary (6.33%)</b>		PFE	Pfizer, Inc.
HRB	H&R Block, Inc.	<b>Industrials (6.50%)</b>	
HBI	Hanesbrands, Inc.	CAT	Caterpillar, Inc.
WHR	Whirlpool Corporation	CMI	Cummins, Inc.
<b>Consumer Staples (13.69%)</b>		GD	General Dynamics Corporation
ADM	Archer-Daniels-Midland Company	MAN	ManpowerGroup, Inc.
GIS	General Mills, Inc.	UPS	United Parcel Service, Inc.
INGR	Ingredion, Inc.	<b>Information Technology (12.25%)</b>	
K	Kellogg Company	CSCO	Cisco Systems, Inc.
KMB	Kimberly-Clark Corporation	HPE	Hewlett Packard Enterprise Company
PEP	PepsiCo, Inc.	INTC	Intel Corporation
SY	Sysco Corporation	IBM	International Business Machines Corporation
SJM	The J. M. Smucker Company	NTAP	NetApp, Inc.
KHC	The Kraft Heinz Company	STX	Seagate Technology PLC
<b>Energy (3.95%)</b>		<b>Materials (6.81%)</b>	
VLO	Valero Energy Corporation	CF	CF Industries Holdings, Inc.
<b>Financials (20.99%)</b>		LYB	LyondellBasell Industries NV
CMA	Comerica, Inc.	GRA	W. R. Grace & Company
FITB	Fifth Third Bancorp	WRK	Westrock Company
MTB	M&T Bank Corporation	<b>Utilities (10.23%)</b>	
MET	MetLife, Inc.	BKH	Black Hills Corporation
PBCT	People's United Financial, Inc.	ED	Consolidated Edison, Inc.
PFG	Principal Financial Group, Inc.	ETR	Entergy Corporation
PRU	Prudential Financial, Inc.	EXC	Exelon Corporation
RF	Regions Financial Corporation	PPL	PPL Corporation

they will remain at current levels or increase over time. • The Trust invests significantly in the financial sector. The factors that impact the financial sector will likely have a greater effect on this Trust than on a more broadly diversified trust. The profitability of companies in the financial sector is largely dependent upon the availability and cost of capital which may fluctuate significantly in response to changes in interest rates and general economic developments. Financial sector companies are subject to the adverse effects of economic recession, decreases in the availability of capital, volatile interest rates, portfolio concentrations in geographic markets and in commercial and residential real estate loans, and competition from new entrants in their fields of business. • The Trust invests significantly in the consumer products sector. As a result, the factors that impact the consumer products sector will likely have a greater effect on this Trust than on a more broadly diversified trust. General risks of companies in the consumer products sector include cyclical nature of revenues and earnings, economic recession, currency fluctuations, changing consumer tastes, extensive competition, product liability litigation and increased government regulation. A weak economy and its effect on consumer spending would adversely affect companies in the consumer products sector. • The Trust invests in securities issued by small and mid-cap companies. These securities customarily involved more investment risk than securities of large-capitalization companies. • The Trust may be susceptible to potential risks through breaches in cybersecurity. • The Trust is subject to risks arising from various operational factors and their service providers. Operational factors include, but not limited to, human error, processing and communication errors, errors of the Trust's service providers, counterparties or other third-parties, failed or inadequate processes and technology or systems failures. Additionally, the Trust may be subject to the risk that a service provider may not be willing or able to perform their duties as required or contemplated by their agreements with the Trust. Although the Trust seeks to reduce these operational risks through controls and procedures, there is no way to completely protect against

such risks. • Inflation may lead to a decrease in the value of assets or income from investments. **Please see the Trust prospectus for more complete risk information.**

Unit Investment Trusts are fixed, not actively managed and should be considered as part of a long-term strategy. Investors should consider their ability to invest in successive portfolios, if available, at the applicable sales charge. UITs are subject to annual fund operating expenses in addition to the sales charge. Investors should consult an attorney or tax advisor regarding tax consequences associated with an investment from one series to the next, if available, and with the purchase or sale of units. Guggenheim Funds Distributors, LLC does not offer tax advice.

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**Read the Trust's prospectus carefully before investing. It contains the Trust's investment objectives, risks, charges, expenses and other information, which should be considered carefully before investing. Obtain a prospectus at [GuggenheimInvestments.com](http://GuggenheimInvestments.com).**

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