

Axxcess Platform

2019-2020

Axxcess integrates third party investment managers alongside real estate, private equity, and hedged investments to create a unique UMA/TAMP Platform to transform your Wealth Management practice.

Axxcess helps Advisors
better address the needs
of their business

OUR PLATFORM IS BUILT FOR THE EXPERIENCED ADVISOR LOOKING TO IMPROVE ITS CURRENT TRIA PLATFORM, OR AS AN OPERATIONAL SOLUTION FOR A HIGH CALIBER PROFESSIONAL THINKING OF GOING INDEPENDENT AND SEEKING A SEAMLESS TRANSITION.

Welcome

CONTENT



01

Axxcess Platform- Intro

We offer Advisors open architecture, with a full array of wealth management and investment advisory services to move their practice upstream.

02

Core Functionality

How do you deliver service to your existing clients, earn new relationships, and manage your portfolios while keeping your overhead and margins intact? Your competitors today are the very fund companies you place money with. They are giving their best “asset allocation” models away for free. Your value proposition is changing very quickly and firms with resources are re-positioning themselves to compete.

03

Investment Operations

TAMP services are inherently limited to traditional equity and ETF strategies. Axxcess combines true alternatives like private equity, private credit, hedge funds and directed real estate alongside traditional SMA strategies.

Axxcess integrates third party investment managers alongside real estate, private equity, and hedged investments to create a unique UMA/TAMP Platform to transform your Wealth Management practice.



04

Middle and Back Office

RIA firms stuck with legacy systems that don't offer reconciliation, online portfolio reporting, and multi-manager, multi-asset capabilities. You can't upgrade your systems due to expense, and time. The prospect of changing your legacy systems feels like heart surgery. It is. We can help you get make this transition quickly and efficiently.

05

Business Development

Our platform transforms your proposal, IPS generation, account onboarding, and client servicing models. We use technology to enhance the personal services an Advisor must provide to their clients to stay relevant, and competitive. We enable you to spend more time being effective managing your business growth, and retention.

06

Your Relationship With Us

Working with Axxcess, our Advisor Platform Partners enjoy a fully branded, integrated, and reconciled Investment Platform that organizes sophisticated investment approach into a consolidated view of all of their clients wealth.

Experience

With access to an open universe of ETF's, stocks, mutual funds, fixed income, SMA strategies, and select hedge fund, private equity, real estate, and private debt, we built our reporting platform to deliver a comprehensive view of your wealth- both online and on paper. We will brand your portal application for your clients to download from the Apple App Store, and Google Play for Android.

Welcome

THE
FIRST
SECTION

01 *We leverage technology to enhance the personal services an Advisor must provide to their clients to stay relevant, and competitive.*



Axxcess integrates third party investment managers alongside real estate, private equity, and hedged investments to create a unique UMA/TAMP Platform to transform your Wealth Management practice.

HOW IT STARTED

OUR PLATFORM IS BUILT FOR THE EXPERIENCED ADVISOR LOOKING TO IMPROVE ITS CURRENT RIA PLATFORM, OR AS AN OPERATIONAL SOLUTION FOR A HIGH CALIBER PROFESSIONAL THINKING OF GOING INDEPENDENT AND SEEKING A SEAMLESS TRANSITION.

Axxcess has run several family offices over the past 20 years. Families whose wealth derived primarily from operating businesses and real estate. Forced to manually reconcile non traditional assets alongside SMA accounts, we learned a lot about the limitations of technology along the way. Today, technology has made significant leaps in our business. However, Advisors are generally slow adopters of technology and legacy systems are challenging to replace. The truth is, to master a central system like billing and reporting takes time. Depending on the complexity of your business, the time it takes to truly get clients onboarded, historical data integrated, and configure your environment is no less than 6 to 12 months. If you have been prevented from dealing with your clients directed real estate, hedge funds, and private equity by a restrictive firm guidelines, talk to us. We can help you deliver something refreshing and unique to you and your clients.

WHATS A GOOD FIT?

Experienced Advisors working on wirehouse platforms thinking about going independent who have exposure to firm proprietary deals, and clients that have complex needs.

Advisors tired of wearing the business development, and portfolio manager hat. If your differentiation is your ETF model that you are running on a hybrid platform, we can help you scale your business with your “A” clients. These are the folks you are spending 90% of your time on, who contribute more than 50% of your revenue. You have to build a moat around them. Your ETF portfolio does not accomplish this. These clients have outside investments that don't fit your model. You are at risk of losing them. Talk to us.

RIA firms stuck with legacy systems that don't offer reconciliation, online portfolio reporting, and multi-manager, multi asset capabilities. You can't upgrade your systems due to expense, and time. The prospect of changing your legacy systems feels like heart surgery. It is. We can help you get make this transition quickly and efficiently.

WHAT ARE YOUR PRIORITIES?

How do you deliver service to your existing clients, earn new relationships, and manage your portfolios while keeping your overhead and margins intact? Your competitors today are the very fund companies you place money with. They are giving their best “asset allocation” models away for free. Your value proposition is changing very quickly and firms with resources are re-positioning themselves to compete.

Work with us on an account by account basis, or accross your entire practice.

We have found that if you can help your client track and report on their inefficient assets, their liquid assets will

come under management. Track, bill, and report on directed investments in the same account that houses traditional SMA, Fixed Income, Mutual Fund, and ETF strategies. Report, monitor, and analyze hedge fund, private equity, private credit and real estate within the same Advisor branded report portal.

Blend traditional SMA strategies with private equity, private credit, and hedge funds in the same account. We combine internally managed strategies with rigorously-selected third party managers, best-in-class third party mutual fund, ETF, hedge fund, and private equity managers to achieve a comprehensive platform of customized investment strategies.

Our platform provides investment operations and portfolio management solutions, custom reporting, billing, client portal, and CRM integration. Our clients include single and multi-family offices, traditional wealth advisory firms and money managers.

Our platform transforms your proposal, IPS generation, account onboarding, and client servicing models.

We use technology to enhance the personal services an Advisor must provide to their clients to stay relevant, and competitive.

We enable you to spend more time being effective managing your business growth, and retention.

**“Move your business upstream
one client at a time.”**



2020 AMERICA'S BEST

Axxcess Wealth Management

The Axxcess platform is built for the Financial Advisor looking to improve its operational solution for thinking of going independent transition. We offer Advisors an array of wealth management services to move your practice combines true alternatives like credit, hedge funds and direct traditional SMA strategies.

Axxcess has a solution to help and bill on their total wealth. A tactical, strategic equity, and fixed income, options overlay all in a single brokerage account report on each strategy at the reporting platform to deliver a client wealth—both online and your portal application for you the Apple App Store and Google

Our platform provides investment management solutions, customer portal and CRM integration. Our multi-family offices, traditional money managers. Our platform IPS generation, account onboarding models. Axxcess has developed technology that allows you to development process. Prospects accounts from within your brokerage proposals, financial plans, risk prospects in a way other Advisors

Our focus is on 3c(1) and 3c(7) that serve them. If you are interested platform of services designed upscale, Axxcess is your solution

BEST TAMPS



AXXCESS, LLC • 6005 Hidden Valley Road, Suite 290, Carlsbad, CA 92011 • www.axxcessplatform.com

for the experienced
current RIA platform, or
a high-caliber professional
and seeking a seamless
open architecture, with a full
and investment advisory
upstream. Axxcess
private equity, private
ed real estate alongside

your client track, report
advisors can integrate
ETF strategies alongside
and private investments—
int; track, monitor and
sleeve level. We built our
comprehensive view of
on paper. We will brand
clients to download from
gle Play for Android.

ent operations and portfolio
m reporting, billing, client
ur clients include single and
wealth advisory firms and
m transforms your proposal,
arding and client servicing
ed a prospect portal
revolutionize your business
cts onboard their outside
ended client portal. Create
analysis, and engage your
sors simply can't.

y clients and the Advisors
rested in providing a
to move your business
ion.

New business contact:

Cory Persson, CFA, CFS

Phone: (866) 217-5607

E-mail: cory@axxcesswealth.com

Brand of program: Axxcess Customized Portfolio Platform (ACPP)

Type of program: TAMP

Total assets in program: \$2 billion

Year program began: 2015

Managers on platform vetted: Yes

Managers GIPS compliant: Majority are GIPS Compliant

Type of products available: SMA, Funds, ETFs, Fixed Income, Structured Products, Hedge Funds, Private Equity, Real Estate

Program uses platform to track reporting of client holdings: Yes

Program is compatible for: Advisors working with Accredited Investors

Program optimizes for tax and trading efficiency: Yes

Sleeve-level reporting: Yes

Program links to a trade execution or order management system: Yes

Program links to a trust accounting system: Yes

Private branding or white labeling possible: Yes

Proposal generator: Yes

Generates investment policy statements: Yes

Asset allocation methodologies: Return-based, risk-based, or advisor directed

Rebalancing: On demand or periodic

Aggregation of held-away accounts: Yes, and also white label this feature

Custodians supported: Schwab, Fidelity, NFS, TD Ameritrade, Interactive Brokers

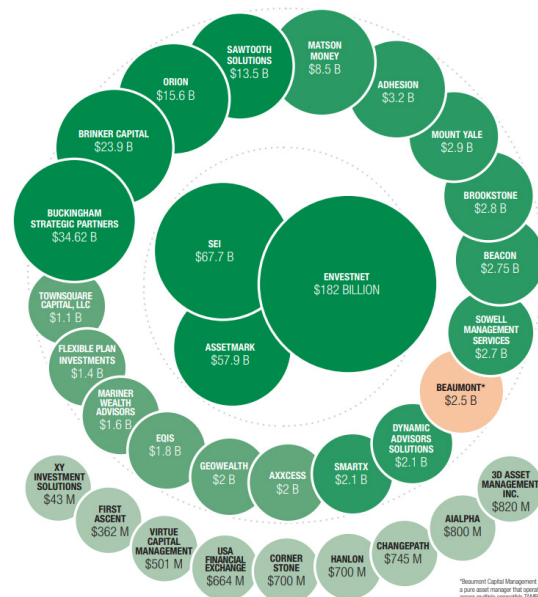
Marketing support offered: Yes

Axxcess helps Advisors better address the needs of their business"

AxxcessPlatform is a TAMP built specifically to address the needs of Accredited Investors and the Advisors that serve them.

AMERICA'S BEST TAMPS 2020

TAMPS BY MANAGED ASSETS



*Beaumont Capital Management is a pure asset manager that operates across multiple competitive TAMPS.

Sleeve Management
UMA/UMH Functionality
Private Asset Platform- PAP
Prospect Portal

02

Core Functionality

We combine internally managed strategies with rigorously-selected third party managers, best-in-class third party mutual fund, ETF, hedge fund, and private equity managers to achieve a comprehensive platform of customized investment strategies.



MULTI-ASSET CLASS FOR ACCREDITED AND QUALIFIED PURCHASERS.

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Axxcess combines true alternatives like private equity, private credit, hedge funds and directed real estate alongside traditional SMA strategies.



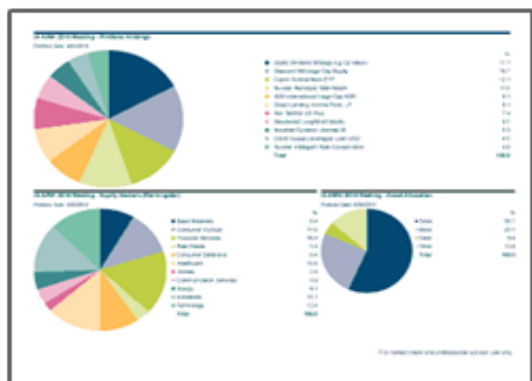
TRUE OPEN ARCHITECTURE

Traditional Custodians like Schwab, Fidelity IWS, and Ameritrade as well as direct, and self directed options and our Private Asset Platform.



Whether you are looking for a tactical strategy that can help your portfolio dynamically adjust to changing market conditions or an equity income strategy that can deliver a fixed income approach to equity investing, we can construct, implement, and monitor the solution.

Blend traditional SMA strategies with private equity, private credit, and hedge funds in the same account.



UMA/UMH

Sleeve Management

Each custodial account can be sleeved to incorporate advisor directed, and third party managed strategies.

Organize

Your client can integrate all of their strategies into a single household or registration view.



Investment Choice

Access to an open universe of ETFs, Stocks, Mutual Funds, Fixed Income, investment managers, and select hedge funds.



Axxcess maintains custodial relationships with Charles Schwab, Fidelity IWS, NFS, Interactive Brokers, Millennium Trust, & TD Ameritrade.



Investment Operations

TAMP services are inherently limited to traditional equity and ETF strategies. Axxcess combines true alternatives like private equity, private credit, hedge funds and directed real estate alongside traditional SMA strategies.

Traditional SMA Sleeve Managers

Available on the Axxcess Customized Portfolio Platform (UMA/UMH)

Alta Capital Management	State Street Global Advisors
Anchor Capital	Sterling Global Strategies
ARK-Invest	Valor Capital Management
Athena Investment Management	Zacks Investment Management
Auour Investments	
AZA Capital Management	
Bollinger Capital Management	
Caprin Asset Management	
Clearbridge/Legg Mason	
Diamond Hill Capital Management	
Empirical	
Franklin Templeton	
Goldman Sachs	
Highmore Group Advisors	
Hilton Capital Management	
IRON	
Kayne Anderson	
Legg Mason	
Navellier Investment Associates	
Nuveen Investment Management	
Potomac	
Principal Global Investors	
Scarecrow Trading	
Strategic Global Advisors (SGA)	
SpiderRock	

Alternative Investment Platform Integrations (UMA/UMH)

CAIS
Crystal Capital
ICapital
Gemini

Private Equity/ Private Credit/Reg D

Self Directed Private Equity/Credit
Reg D Private Placements
Directed/Syndicated real estate LP
Self Directed Hedge Funds

Variable Annuity/ Insurance

VA sub account level reporting via DST
VUL/IUL reporting

TAMP Custodial Relationships

Fidelity IWS
Schwab Institutional
TD Ameritrade
National Financial Services
Interactive Brokers

The Axxcess Platform helps advisors deliver a portfolio solution that is both scalable, and customized for the unique needs of your client base.

Investment Operations

YOUR TOP CLIENTS HAVE LIKELY DONE A DEAL...

YOUR CLIENTS HAVE LIKELY INVESTED IN A REAL ESTATE PARTNERSHIP, OR HELPED GROW A PRIVATE COMPANY. YOU CAN HELP THEM GET THEIR DIRECTED ALTERNATIVE INVESTMENTS ORGANIZED WITHIN YOUR REPORTS AND CLIENT PORTAL



Performance reporting at the household,
registration, account, security and strategy levels.

03

Advisors can implement a customized approach to construct unique solutions for clients.

Portfolio's can be implemented in a single brokerage account at your choice of custodian using sleeve managers, advisor directed models, or customized allocations.

Our platform provides investment operations and portfolio management solutions, custom reporting, billing, client portal, and CRM integration. Our clients include single and multi-family offices, traditional wealth advisory firms and money managers.

We excel in meeting the needs of anyone serving high net worth clients



Middle & Back Office

04

RIA firms stuck with legacy systems that don't offer reconciliation, online portfolio reporting, and multi-manager, multi asset capabilities. You can't upgrade your systems due to expense, and time. The prospect of changing your legacy systems feels like heart surgery. It is. We can help you get make this transition quickly and efficiently.

FORTH SECTION



Prospect Portal



Paperless Environment



Billing and Reporting



Compliance and Audit Support



Prospect Portal

Branded, integrated prospect portal creates a branded Advisor environment that allows a prospective client to onboard through your unique workflow. The prospect registers, and digitally integrates their current accounts directly into your investment operations center. No more manual statements, or hand entering their current holdings into your proposal tool. We do not send our prospects out to a third party for web scrub aggregation, only to send them back to a new site for reporting. It all happens in the same environment. Collect client profile, concerns, and objectives all on the front end digitally. Data drives workflows. Collect it efficiently.



Paperless Environment

Digital storage, client vaults, and the ability to aggregate outside accounts directly into your reporting system. Docusign your business forms, and generate digital endpoints for your clients that require them. Direct paper forms where needed. All from the same systems. We will convert and customize your internal processes, design and author your workflows to create a powerful, and efficient practice that will dramatically increase net income, and improve the quality of your services.



Bill

Create tiered or flat billing
ment waterfalls to easily

With access to an open u
strategies, and select he
built our reporting platf
online and on paper. We
download from the Appl
are customized to create



Com

We will not replace your
prehensive support for S
compliance support pac
ADV logs, and more. Tra
audits.

Audit, which allows firm
SEC and state regulator
Verify, an anti-money la
Risk Solutions service fr
Supervise: Create overs
policy and procedures, a

ing and Reporting

ing schedules. Track each payee individually, and build pay-
y pay multiple reps, solicitors, broker dealers, and firms.

universe of ETF's, stocks, mutual funds, fixed income, SMA
dge fund, private equity, real estate, and private debt, we
orm to deliver a comprehensive view of your wealth- both
will brand your portal application for your clients to
e App Store, and Google Play for Android. Engaging reports
e your firms unique client deliverable.

**Our platform transforms your
proposal, IPS generation, account
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personal services an Advisor must
provide to their clients to stay
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**We enable you to spend more time
being effective managing your
business growth, and retention.**

**Move your business upstream one
client at a time.**

pliance Support

r external compliance consultant, but we can provide com-
SEC Exam requests for your accounts on our platform. Our
kage creates your historical trade blotters, fee billing reports,
ck your supervisory processes, and internal books and records

s to run mock audits and automate information retrieval for
y exams, and
undering (AML) screening service that integrates with the
om the legal research and data firm LexisNexis.
ight tasks, audit trails, and ensure implementation with your
and monitor risks.

"Your relationship with us"

Working with Axxcess, our Advisor Platform Partners enjoy a fully branded, integrated, and reconciled Investment Platform that organizes sophisticated investment approach into a consolidated view of all of their clients wealth.

Our platform transforms your proposal, IPS generation, account onboarding, and client servicing models.

We use technology to enhance the personal services an Advisor must provide to their clients to stay relevant, and competitive.

We enable you to spend more time being effective managing your business growth, and retention.



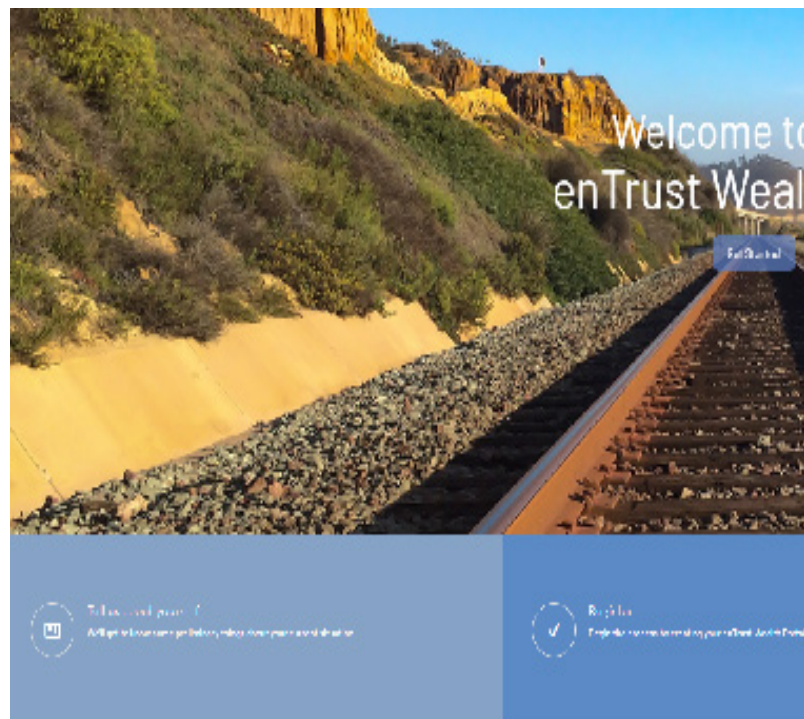
Our end-to-end delivery model provides a seamless, integrated, and personalized experience for your clients and your business.

THE BALBOA

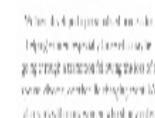
The Balboa platform is a fully integrated, end-to-end delivery model that provides a seamless, integrated, and personalized experience for your clients and your business.

OLD MODEL

The old model is a fragmented, end-to-end delivery model that provides a disjointed, inconsistent, and non-personalized experience for your clients and your business.



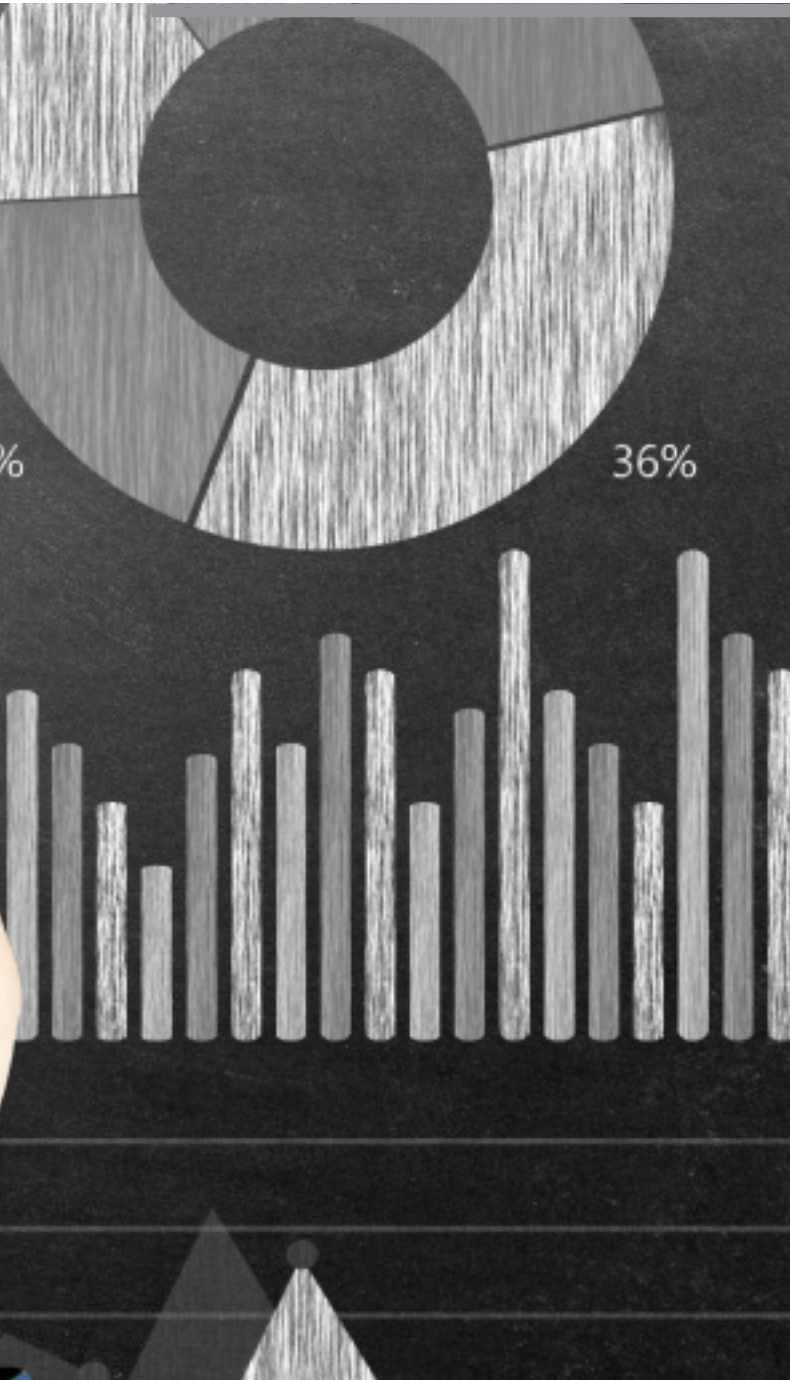
Intelligent. Integrated.
enTrust Wealth Management



Axxcess



Platform



Business Development

We want to work with you.
Work on a per account, segment of client, or a fully integrated basis. Enhancing your business does not require you change everything you are doing all at once.

Our platform is built for the experienced Advisor looking to improve its current RIA platform, or as an operational solution for a high caliber professional thinking of going independent and seeking a seamless transition.

PLUG IN AND DISCOVER HOW THE AXXCESS PLATFORM CAN ENHANCE YOUR FIRMS SERVICES.

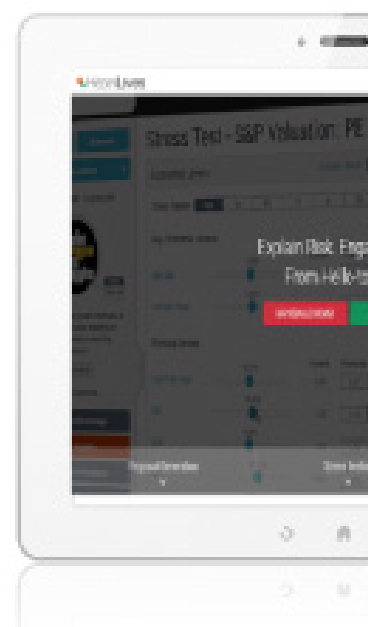
CLIENT FOCUSED



Financial Planning MoneyGuidePro®

MoneyGuidePro®, created by RIFtech®, is the only tool that makes smart and quality financial plans possible on a tablet and enables you to add value to the plan experience, knowledge and relationships.

[Learn more about the Money Guide](#)



THE AXXCESS PLATFORM INTEGRATES WITH MANY EXISTING TECHNOLOGIES TO CREATE EFFICIENCY ACROSS YOUR PRACTICE

Explain Risk. Engage Clients. From
Hello-to-Close.

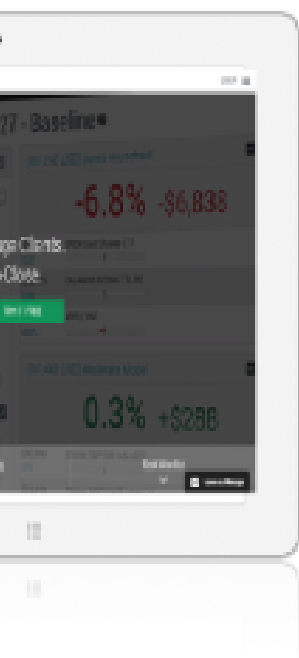
Proposal Generation

Generate proposals that include risk tolerance capture and fee attribution, to help satisfy heightened regulatory demands.

Stress Testing

Illustrate the impact of economic risks on portfolio models, current clients and prospective holdings.

[Learn more about Hidden Levers](#)



06 Your relationship with us



Operationalize Day One

Building and maintaining systems and investment operations is a significant challenge for advisors. Leverage our platform and enhance your client experience day one.



Working with Axxcess

Advisor Platform Partners enjoy a fully branded, integrated, and reconciled Investment Platform that organizes sophisticated investment approach into a consolidated view of all of their clients wealth.



Middle and Back Office

Operate your business from a central integrations. Customize workflows to create scale and efficiency.



Customized Portfolio Platform

Sleeve manager and UMA technology with your choice of custodian.
Private Asset Platform/AIP
Model and Trade Rebalancing platform



Create a rich client experience

Deliver custom reporting, interactive web portals that track allocation, positions, client goals and activity. All from any web connected device.



Training and Support

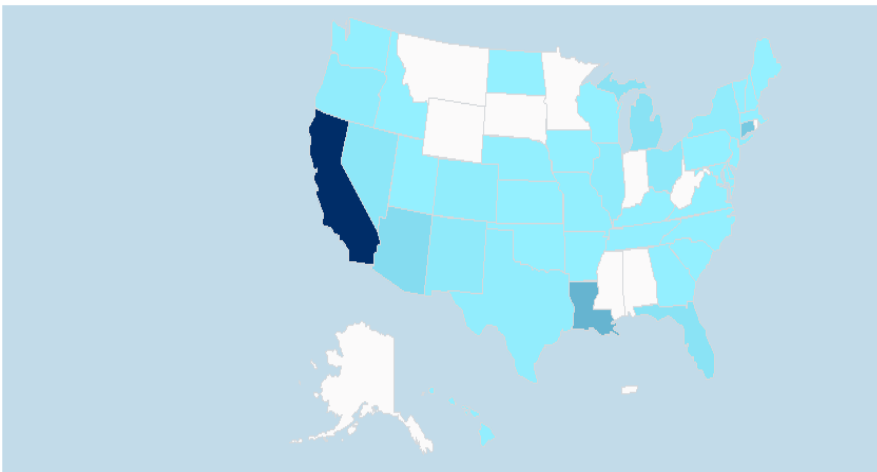
Experienced professionals with custom solutions for your unique brand and firm.

Firm Trends

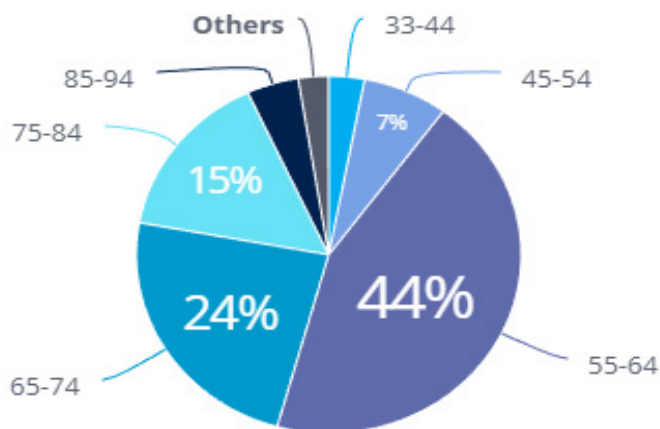
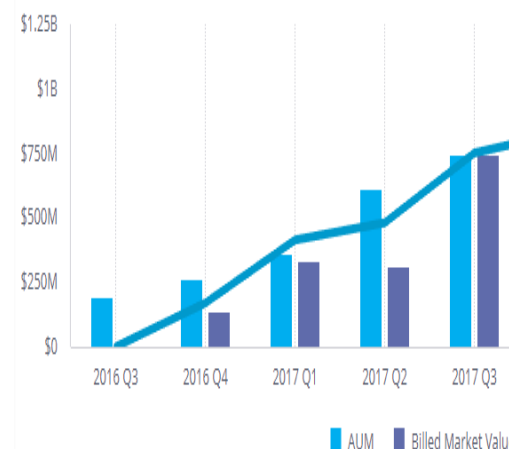
THE LAST SECTION

SIXTH SECTION

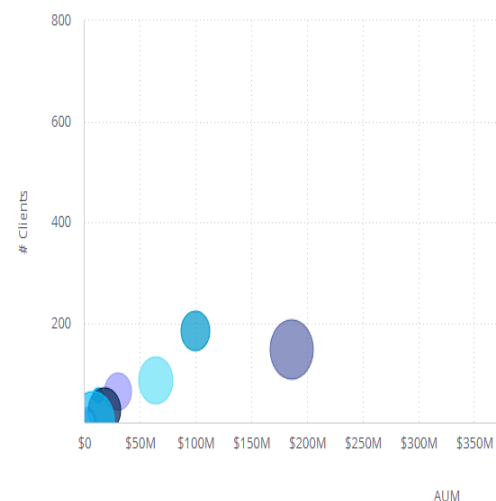
AUM by State



Amount Billed vs. Billed Market Value



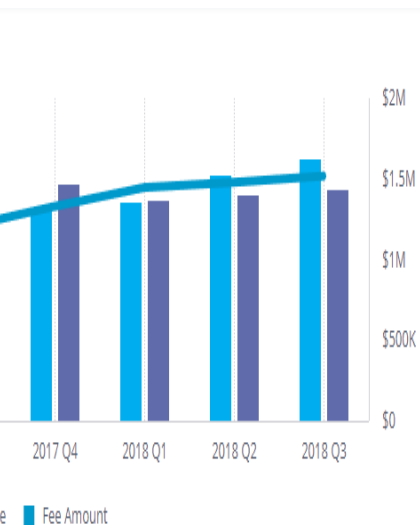
AUM By Age Range vs. # Clients



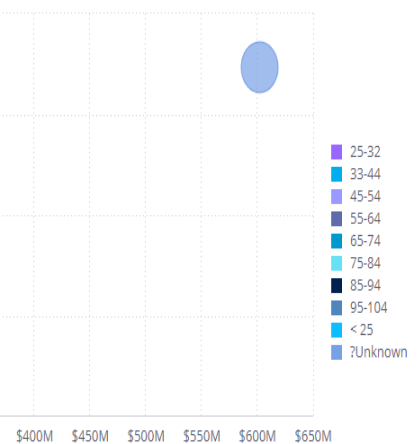
06

WHAT ARE YOUR PRIORITIES?

How do you deliver service to your existing clients, earn new relationships, and manage your portfolios while keeping your overhead and margins intact? Your competitors today are the very fund companies you place money with. They are giving their best “asset allocation” models away for free. Your value proposition is changing very quickly and firms with resources are re-positioning themselves to compete.



Practice Management



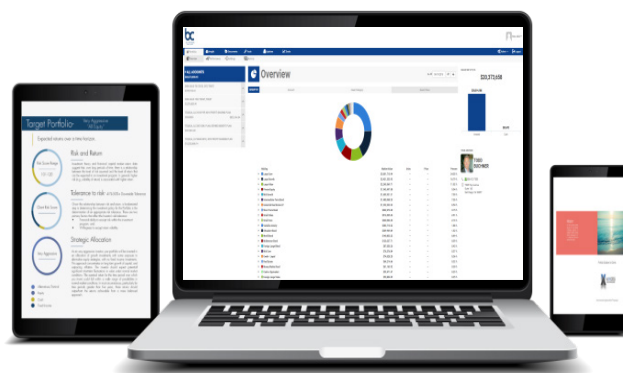
Trends give you interactive dashboards to seeing data about your firm.

You'll have a screen full of widgets, giving you all the information you want to see.

You're able to set filters on the right side of your screen to tweak settings however you want.

Many widgets are interactive, so hovering your mouse over various data points will display additional information.

Axxcess provides a platform service model that helps you implement your firms goals.



Track, bill, and report on directed investments in the same account that houses traditional SMA, Fixed Income, Mutual Fund, and ETF strategies.



Report, monitor, and analyze hedge fund, private equity, private credit and real estate within the same Advisor branded report portal.



Multi Asset/
Multi Custodial



Firm level trend following and informatics.



01

Axxcess
Platform

02

Core
Functionality

03

Investment
Operations

04

Middel &
Back Office

05

Business
Development

06

You
Relationship

The Axxcess Customized Portfolio Platform allows Advisor Firms to build multi manager strategies as stand alone portfolio solutions, or to compliment Advisor Directed strategies.



2019-2020



Axxcess Platform

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866-217-5607

Axxcess Platform is a service mark of Axxcess
Wealth Management, a Registered Investment
Advisor with the SEC.