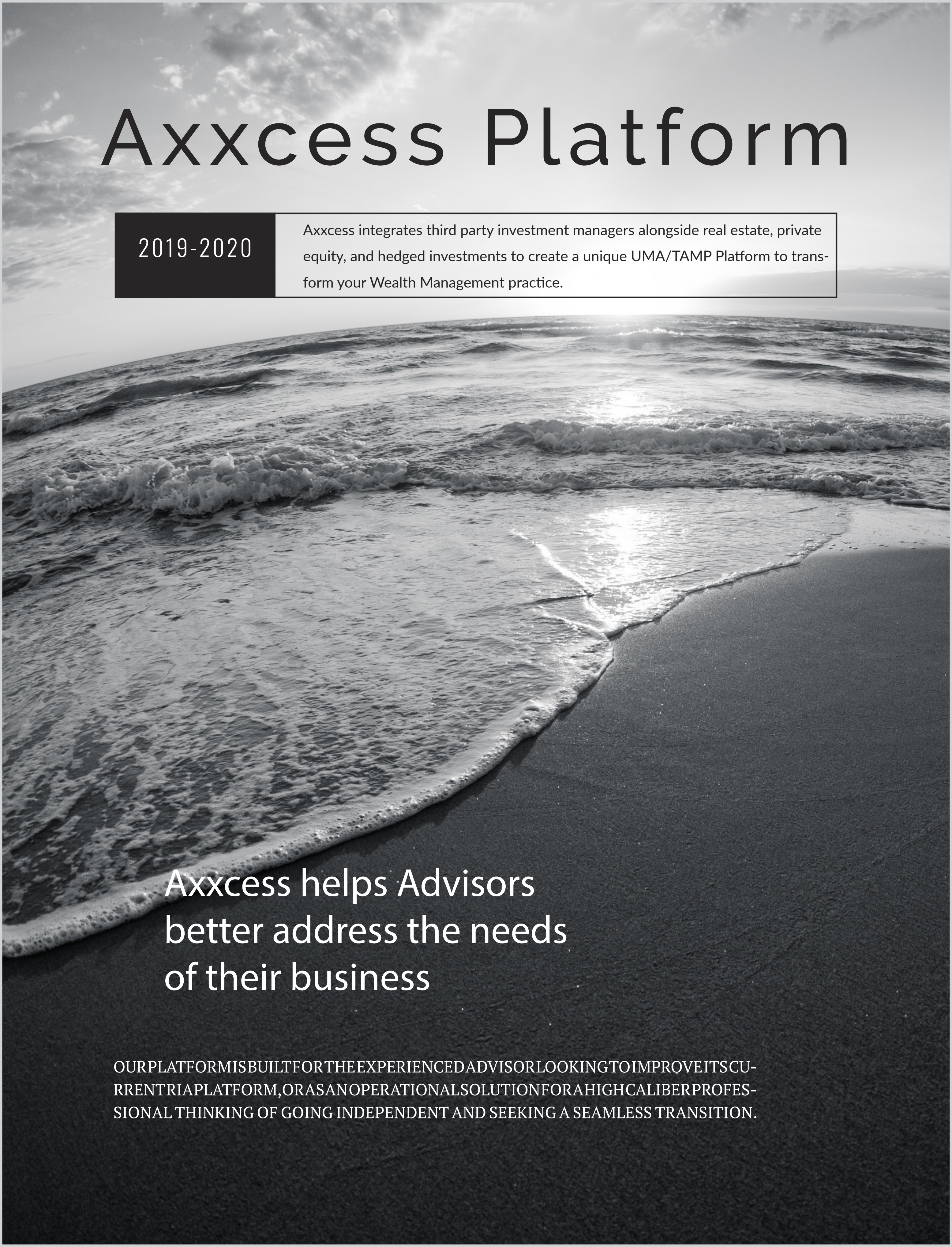


Axxcess Platform

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 RIA 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 dont offer reconciliation, online portfolio reporting, and multi-manager, multi asset capabilities. You cant 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

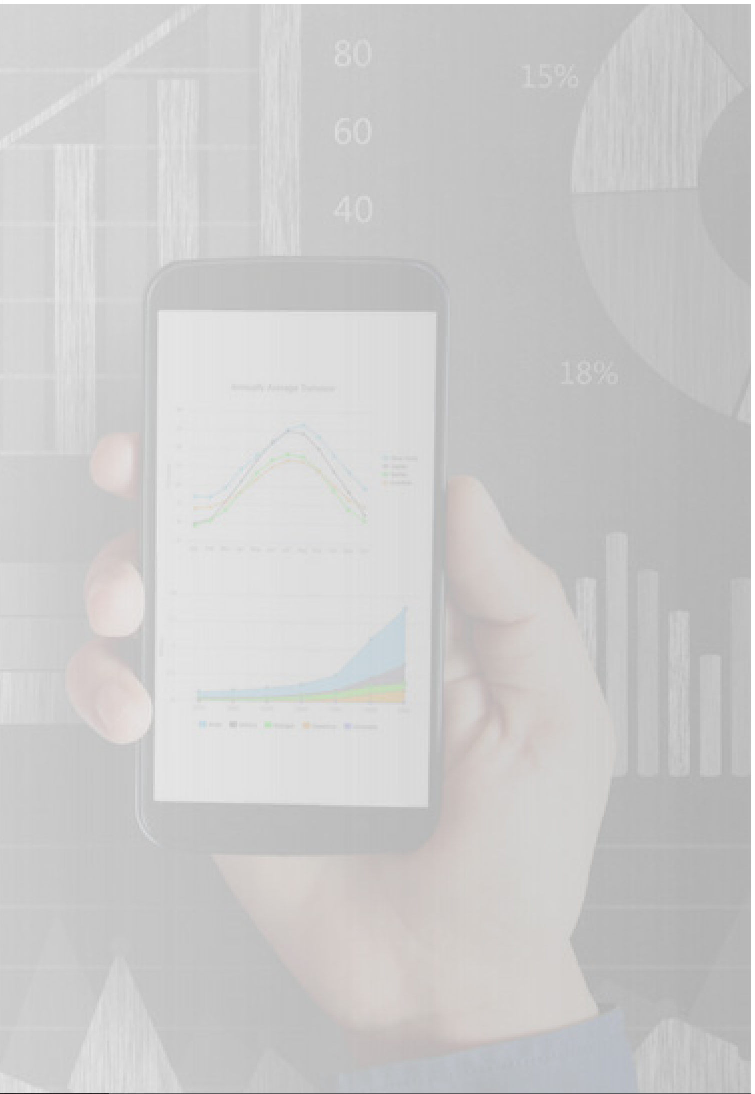
With access to an open universe of ETF's, stocks, mutual funds, fixed income, SMA strategies, and select hedge fund, private equity, real estate, and private debt, we built our reporting platform to deliver a comprehensive view of your wealth- both online and on paper. We will brand your portal application 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 5o% of your revenue. You have to build a moat around them. Your ETF portfolio does not accomplish this. These clients have outside investments that dont fit your model. You are at risk of losing them. Talk to us.

RIA firms stuck with legacy systems that dont offer reconciliation, online portfolio reporting, and multi-manager, multi asset capabilities. You cant 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.

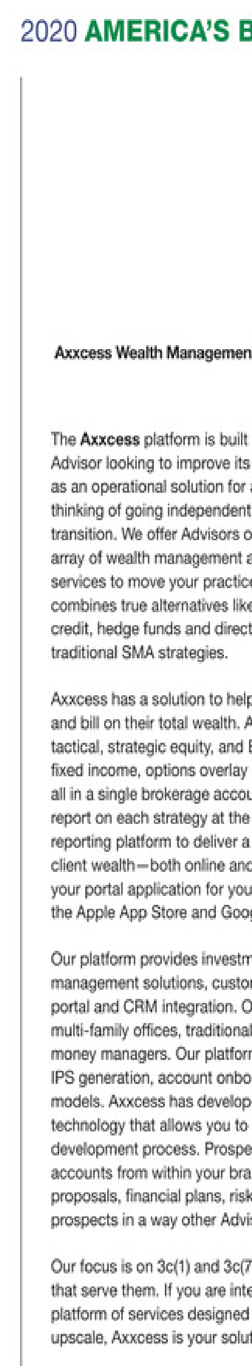
Our platform transforms your proposal, IPS generation, account onboarding, and client servicing models.

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.”

AXXCESS
www.axxcessplatform.com



2020 AMERICA'S B

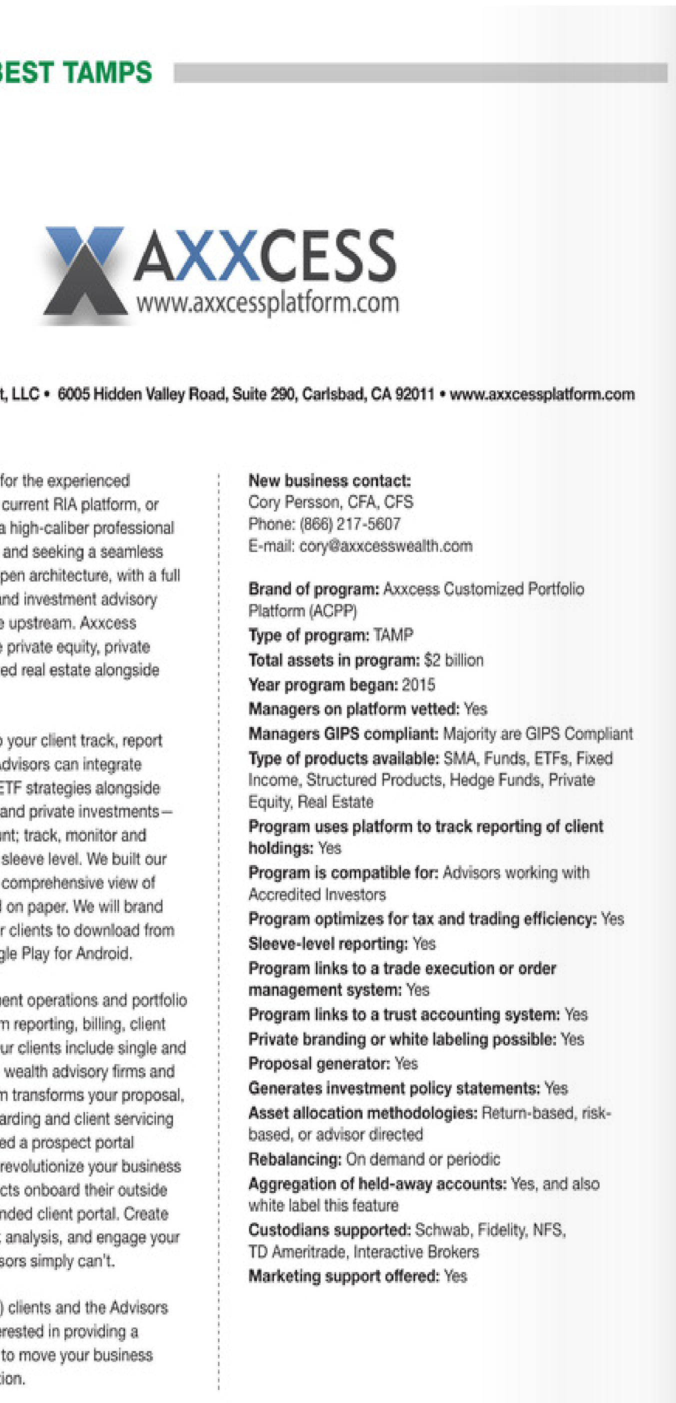
Axxcess Wealth Managemen

The **Axxcess** platform is built
Advisor looking to improve its
as an operational solution for
thinking of going independent
transition. We offer Advisors o
array of wealth management
services to move your practic
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 accou
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 Goo

Our platform provides investm
management solutions, custo
portal and CRM integration. O
multi-family offices, traditional
money managers. Our platfor
IPS generation, account onbo
models. Axxcess has develop
technology that allows you to
development process. Prospe
accounts from within your bra
proposals, financial plans, risk
prospects in a way other Advis

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



BEST TAMPS

AXXCESS
www.axxcessplatform.com

t, 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
pen architecture, with a full
nd investment advisory
e upstream. Axxcess
e private equity, private
ed real estate alongside

o your client track, report
dvisors can integrate
ETF strategies alongside
and private investments—
nt; track, monitor and
sleeve level. We built our
comprehensive view of
l on paper. We will brand
r 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
nded client portal. Create
analysis, and engage your
sors simply can't.

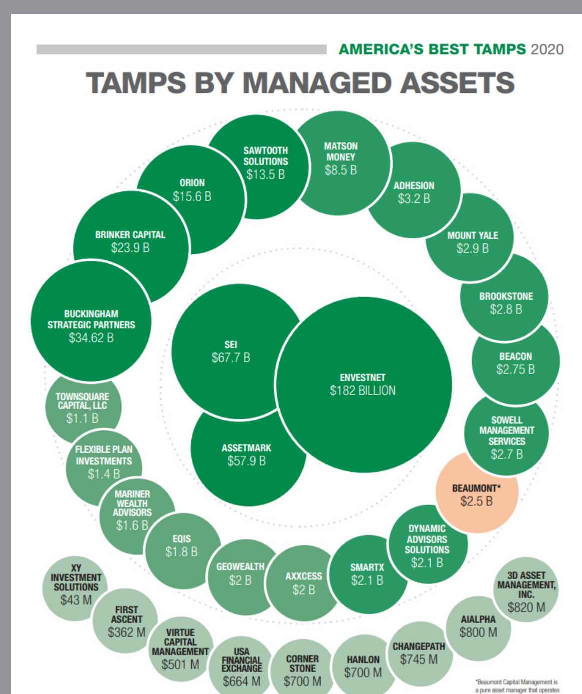
) clients and the Advisors
erested in providing a
to move your business
ion.

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.



SECOND SECTION

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

02

Core Functionality

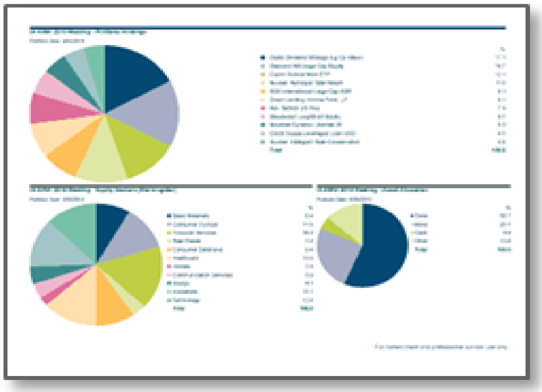
We combine internally managed strategies with rigorously-selected third party managers, best-in-class third party mutual fund, ETF, hedge fund, and private equity managers to achieve a comprehensive platform of customized investment strategies.

MULTI-ASSET CLASS FOR ACCREDITED AND QUALIFIED PURCHASERS.
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.

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 Managemnet

Each custodial account can be sleeved to incorparate 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
Anchor Capital
ARK-Invest
Athena 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
State Street Global Advisors
Sterling Global Strategies
Valor Capital Management
Zacks Investment Management

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

03

THE
THIRD
SECTION

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

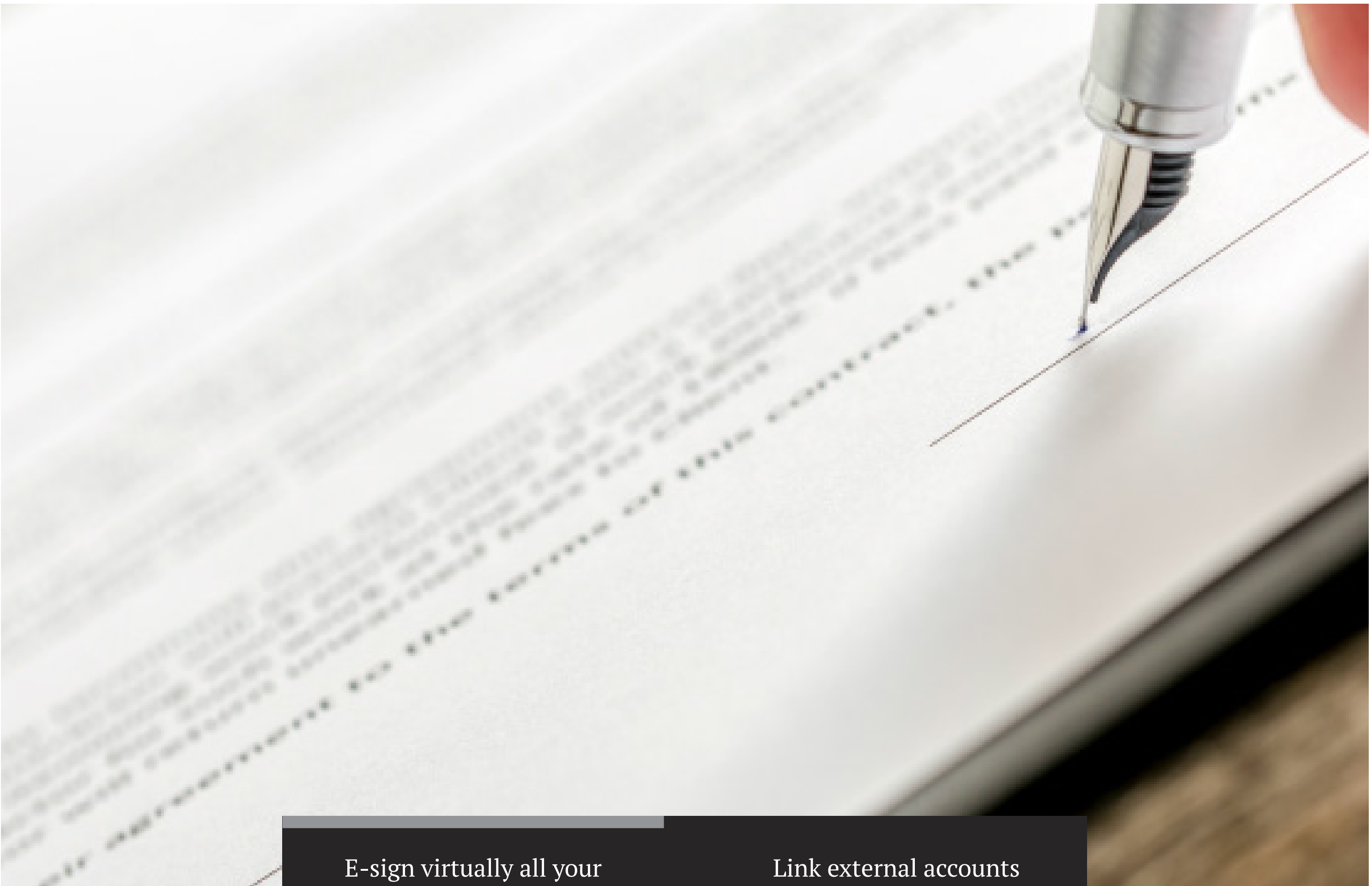
Performance reporting at the household, registration, account, security and strategy levels.

03

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

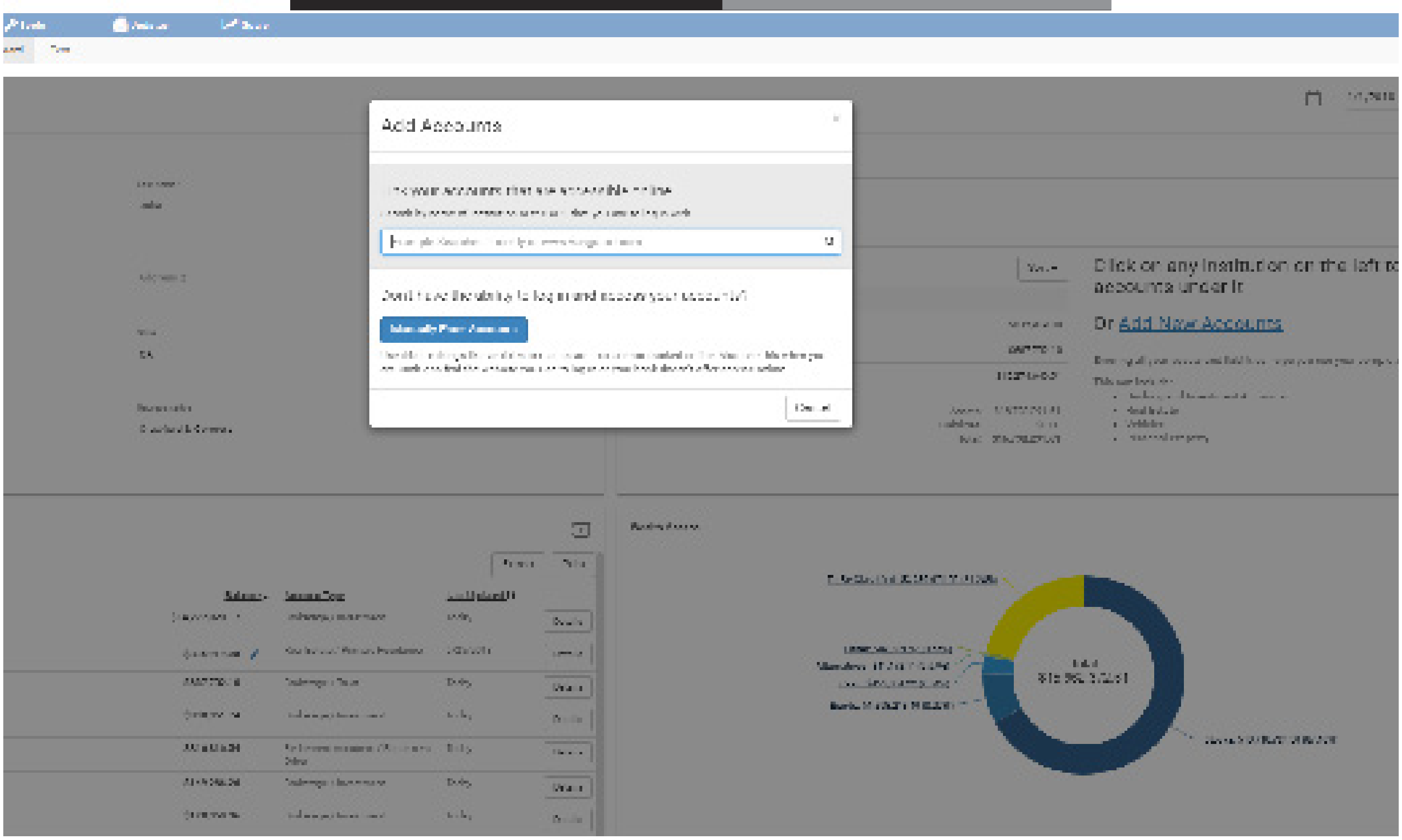
Portfolio’s can be implemented in a sinlge brokerage account at your choice of custodian using sleeve managers, advisor directed models, or customized allocations.

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



E-sign virtually all your account opening paperwork

Link external accounts through our unique aggregation engine



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 billi
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

Con

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

ng 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.

mpliance 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

ns 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
nd monitor risks.

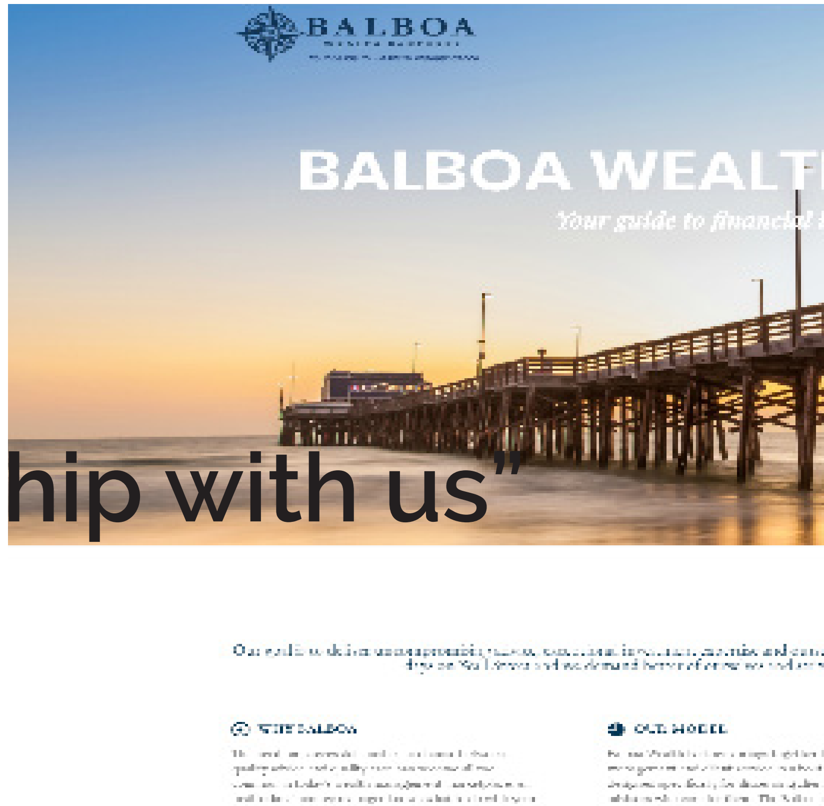
Our platform transforms your proposal, IPS generation, account onboarding, and client servicing models.

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.

“Your relationship with us”



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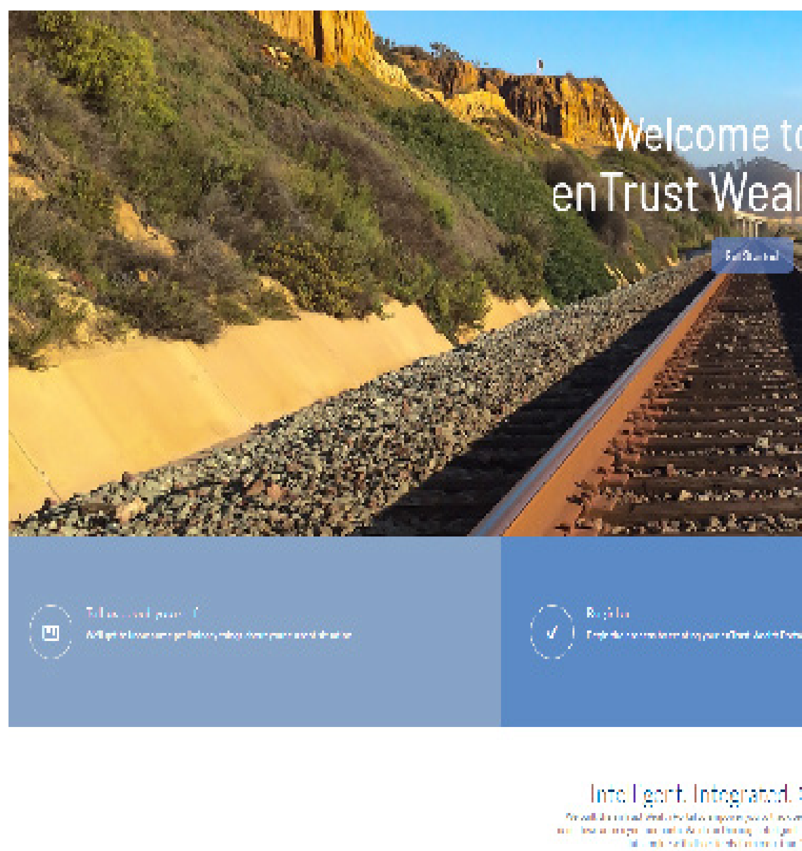
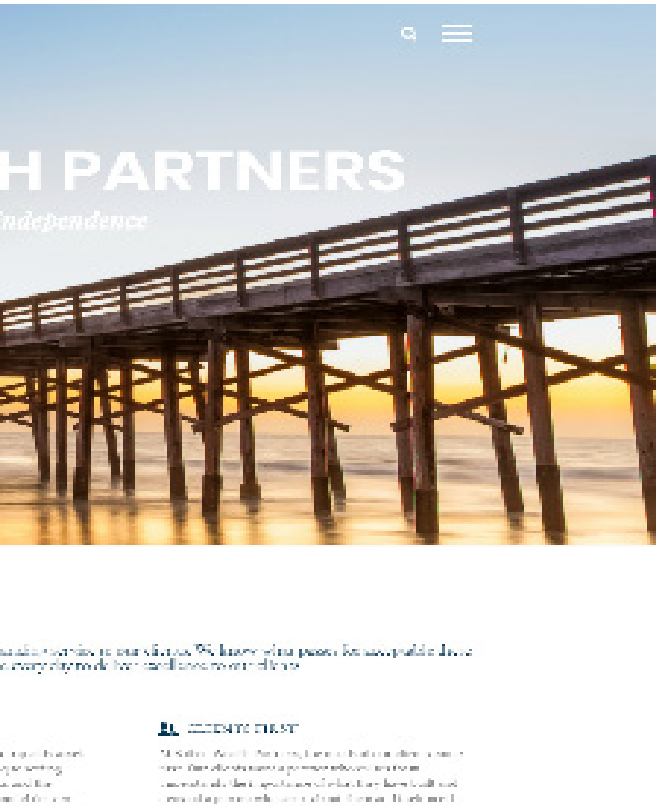
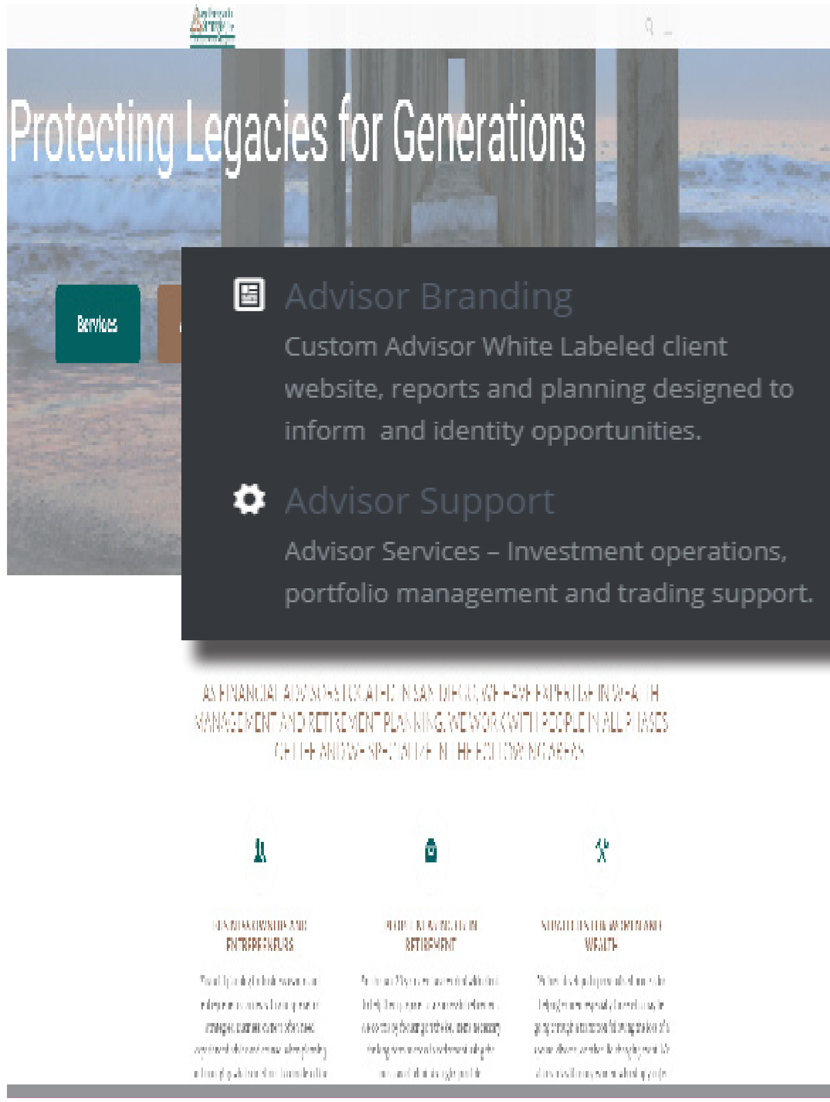




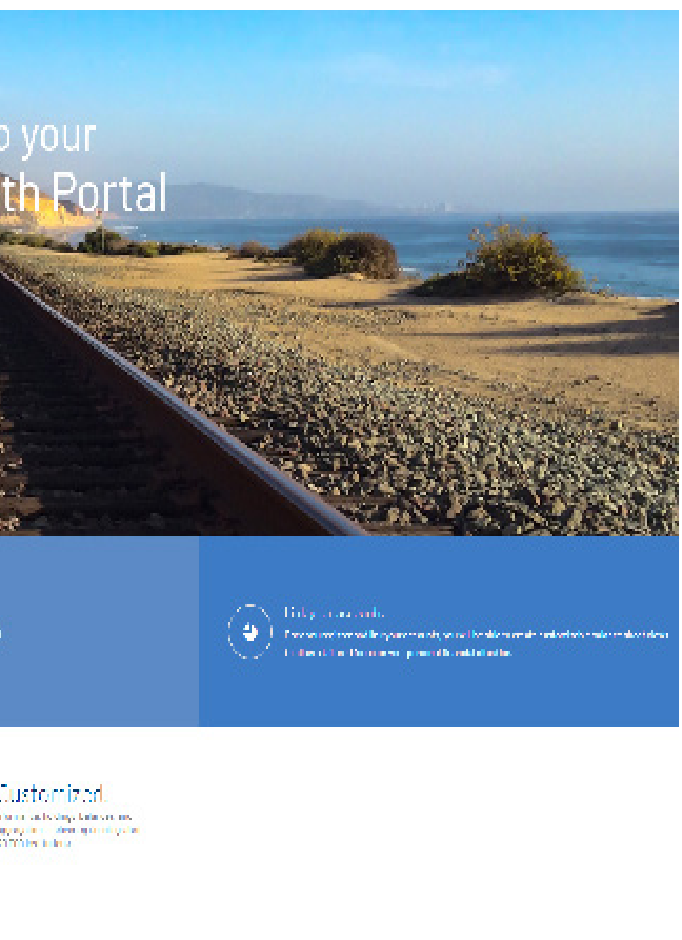


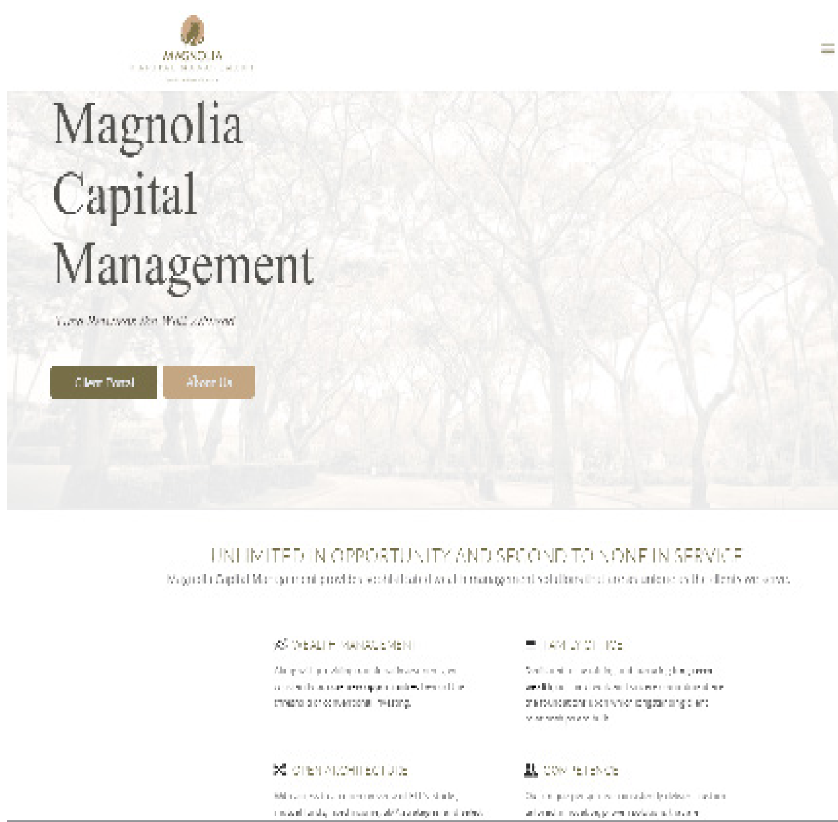
Advisor Branding

Custom Advisor White Labeled client website, reports and planning designed to inform and identity opportunities.

Advisor Support

Advisor Services – Investment operations, portfolio management and trading support.





Axxcess

05

FIFTH SECTION

Platform

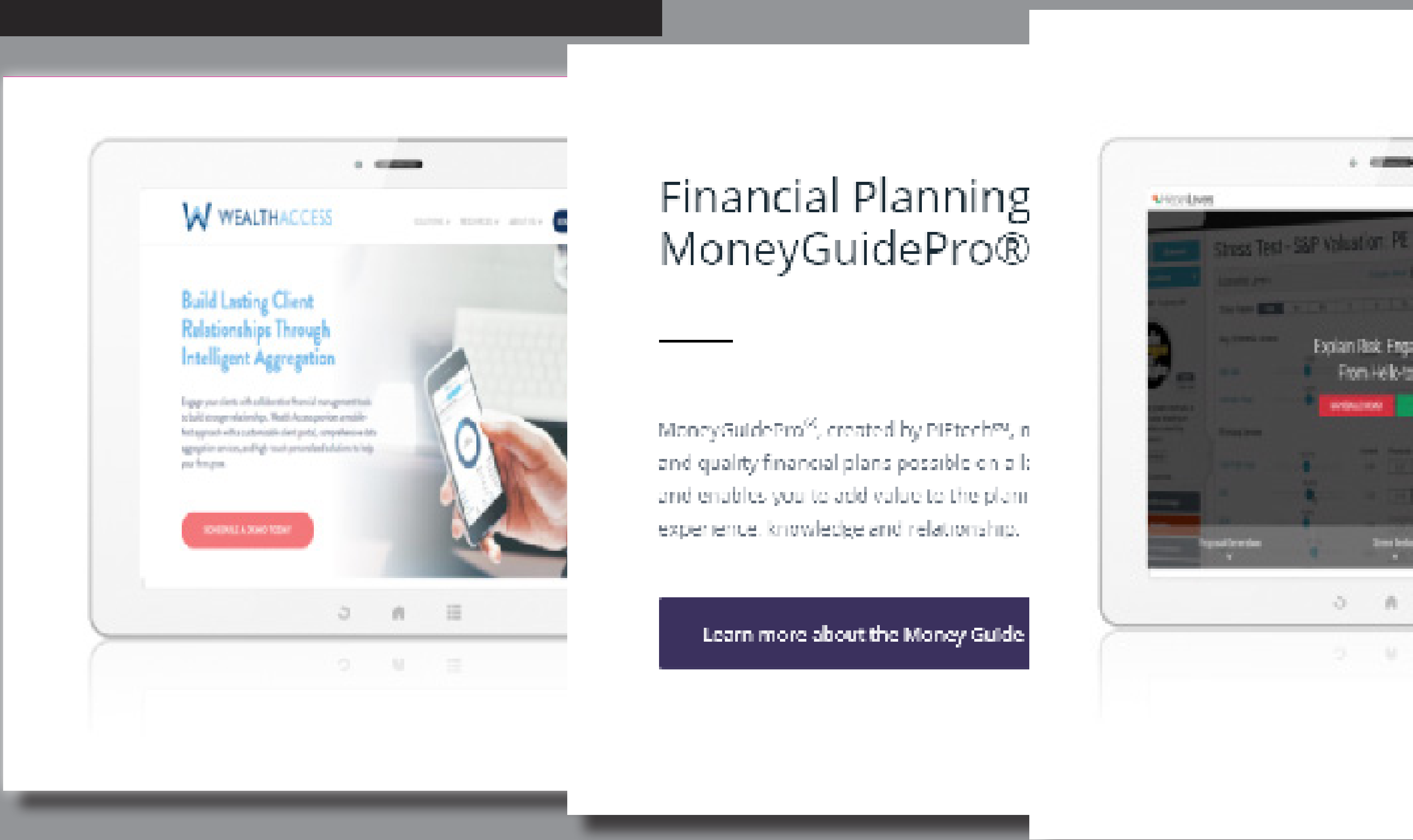
Business Development

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.

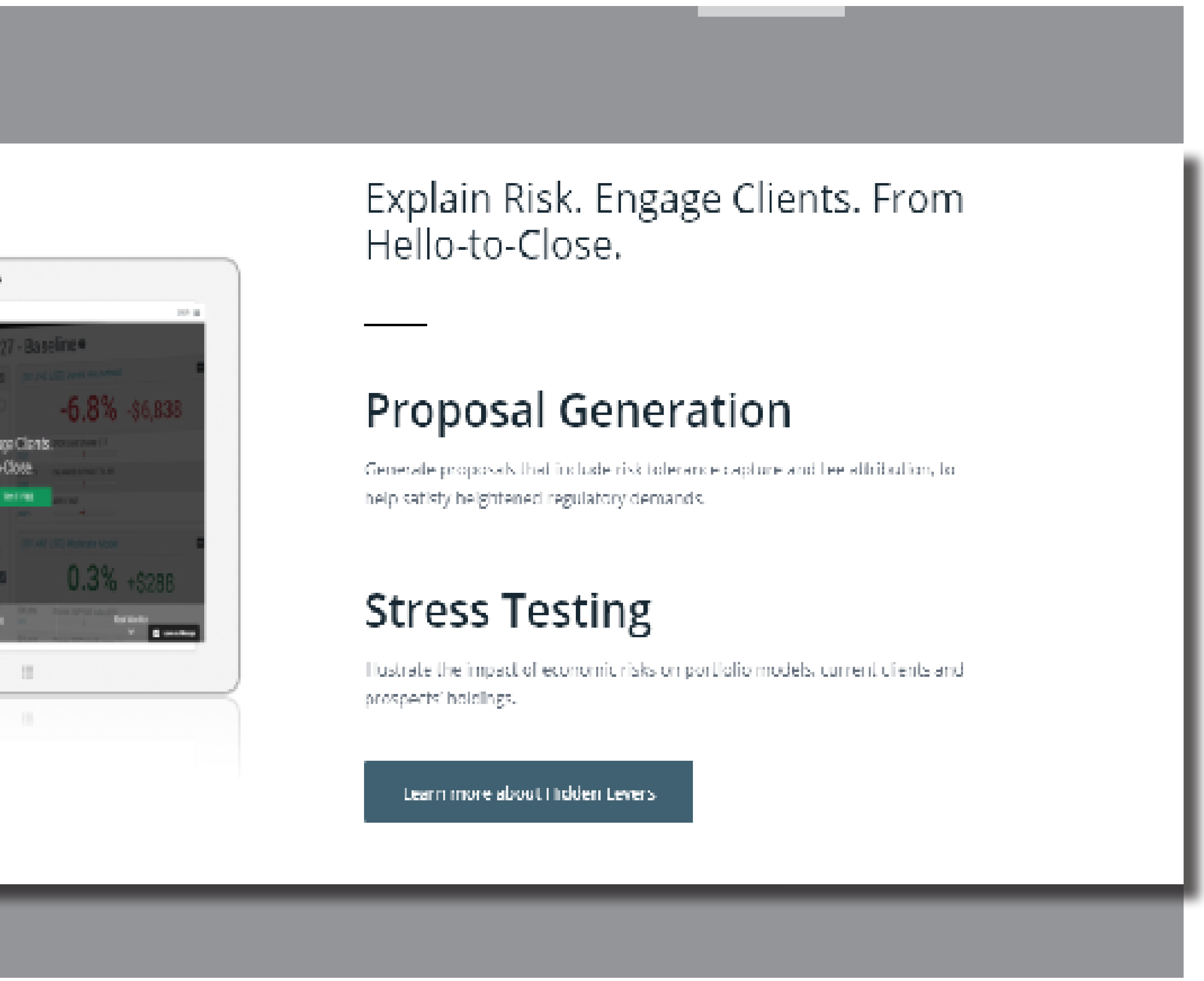
Our platform is built for the experienced Advisor looking to improve its current RIA platform, or as an operational solution for a high caliber professional thinking of going independent and seeking a seamless transition.

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

CLIENT FOCUSED



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



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.

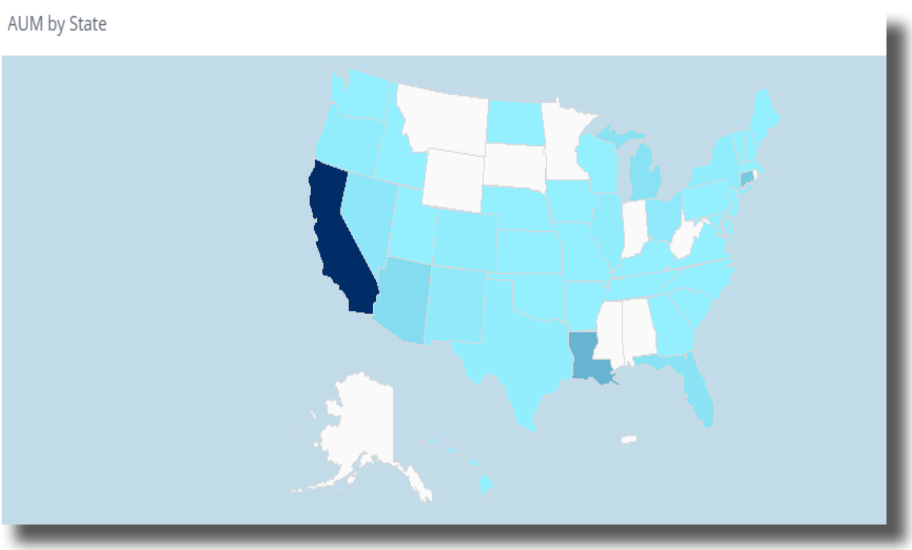
Training and Support

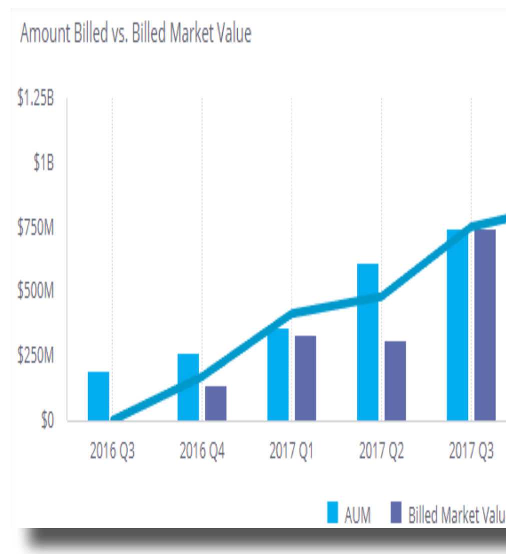
Experienced professionals with custom solutions for your unique brand and firm.

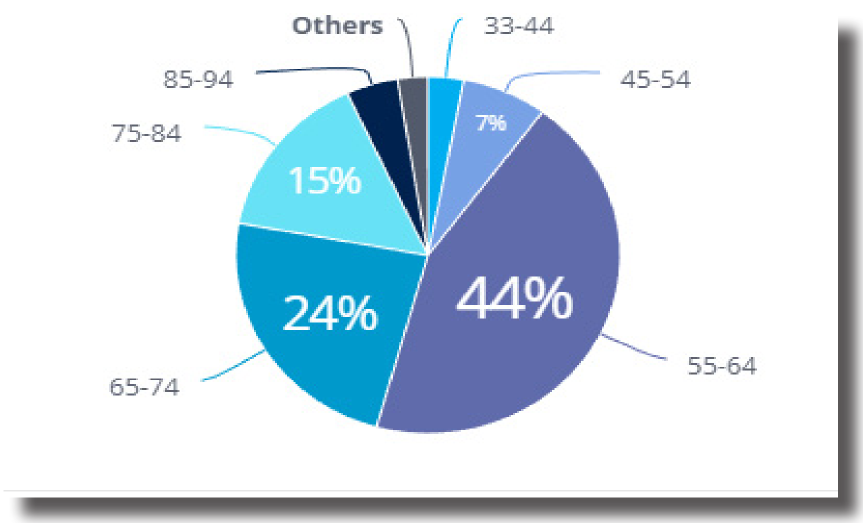
Firm Trends

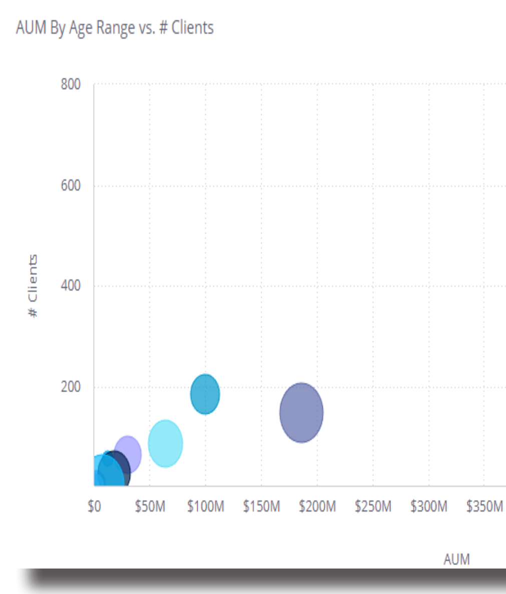
THE LAST SECTION

SIXTH SECTION





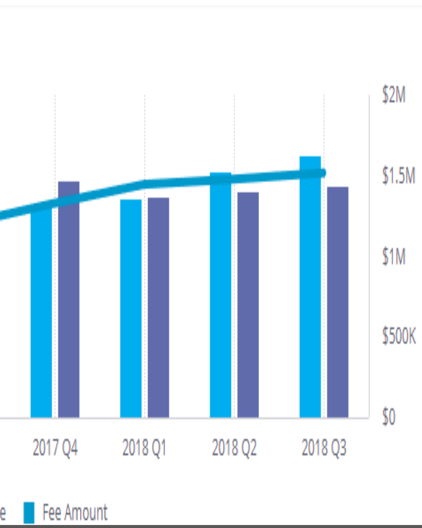




06

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.



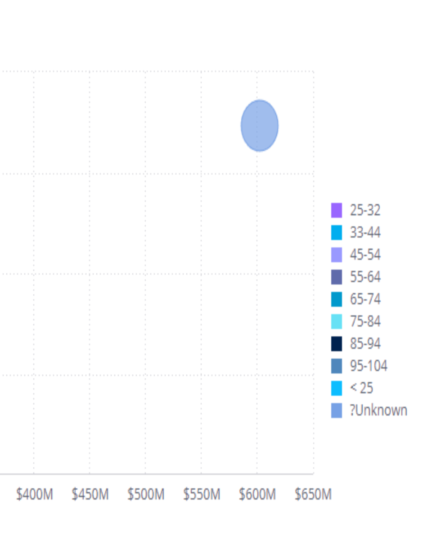
Practice Management

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

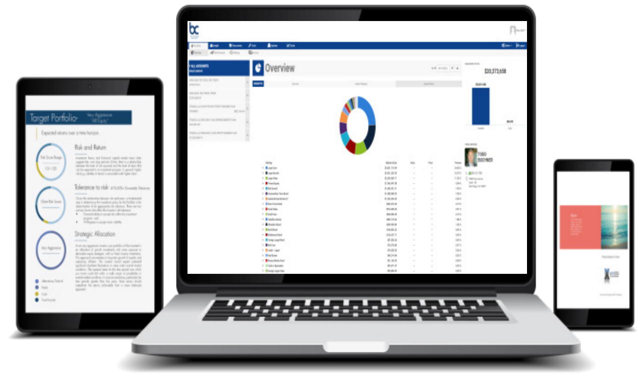
You'll have a screen full of widgets, giving you all the information you want to see.

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.

AXXCESS
www.axxcessplatform.com

01	02	03	04	05	06
Axxcess Platform	Core Functionality	Investment Operations	Middel & Back Office	Business Development	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.

AXXCESS
www.axxcessplatform.com

2018-2019

Axxcess Platform

Axxcess Wealth Management, LLC

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Carlsbad, CA 92011
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866-217-5607