AXXCESS ANNUAL CONFERENCE 2020

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.

MARCH 5TH & 6TH, 2020
CARLSBAD, CA

Innovation.

Inspiration.

Implementation.

Agenda:
March 5TH: Evening Reception at the Cape Rey Hilton, Carlsbad

March 6TH: Full Day Conference

The Axxcess Platform Annual Conference is our capstone event each year. 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. The conference focuses on enhancing advisor and client experiences in practice management and bringing together leading investment managers in a forum that is designed to enhance advisor efficiency, engagement, and client development and elevate the role of the independent investment advisor. Escape the office, assess the landscape, examine the opportunities, and plan to implement in the year ahead.

Featured Speakers

Matthias Giraud
Super Frenchie

Keynote Speakers – Matthias Giraud "Super Frenchie"

Keynote Speakers – Rick Loughery –Global Media GoPro

Rick Loughery
VP Go Pro

MATTHIAS GIRAUD
Promoting the sports of skiing and B.A.S.E. jumping in a professional and humble manner to inspire human adventure.

Friday, March 6th, 2020

More than a turn-key tech stack

The Axxcess Platform

Transforms your client experience.

Digitization is transforming wealth management. Your technology should not get in the way of your client relationship. It should help you build a moat around your business by delivering value, professional advice, and differentiation. Join us and transform your client experience with the Axxcess Platform.

Practice Management

Deep dives into practice management implementation in a digital world.

Actionable strategies to increase margins and wallet share.

Emerging technology to increase effectiveness with less overhead.

Business development innovations focused on helping you position your business towards the highest net worth clientele.

Investment Solutions

Hear from leaders in investment management focused on solutions tailored to your top clients.

Dynamic Scenario Analysis.

Hedging Wizard.

Actionable solutions that personalize and unify your clients total wealth picture. Alts, direct investments, SMAs and your advisor directed strategies – all integrated in a allocator tool white labeled for your business.

Client Experience

Your client experience starts with a lifecycle that sets a expectation when they are just a prospect.

Create a moat around your client relationships by delivering more than what you are today.

Your firm is your brand and your technology should never be in between you and your client. Learn how to implement technology in the background of your client experience and ensure your client remains your client.

FRIDAY

March 6

Conference Tracks

Practice Management

Practice Management Round Table with Schwab Advisor Services

Tony Parkin, VP of Field Consulting and Education for Charles Schwab and Co discusses business planning, technology and practice management outlook for Schwab and their relationship with Advisory firms working, or soon to be working on the Schwab Institutional Platform.

Managed Account Sleeves in your practice

Many Adivsors wear both the PM and Client Advisory hats. Successful Advisors build teams, specialize, delegate and optimize their practices. The Axxcess Platform helps you do that. Meet with Joe Hosler, Managing Principal of Auour Investments, David Schubach, Director of Wealth Management and Advisory consulting for New Frontier Advisors, and Terry Ober, National Director Portfolio Specialists Group at Richard Berstein Advisors discuss the efficiencies of using a single brokerage account to build multi manager, multi asset class portfolios and the impact to both growth and for the margins in your practice.

Reg BI and the Advisor

Mitch Avnet, CEO of Compliance Risk Concepts discusses the upcoming Reg BI through the lens of tools available within the Axxcess Platform to comply efficiently with Reg BI. Compliance applications, risk monitoring, and IPS drift tracking. Mitch will focus on helping you understand your obligations, operational integrations that have already been mapped in Axxcess' technology, optimizing your data management practices, and defining your best interest guidelines.

FRIDAY **Conference Tracks**

March 6 **Practice Management**

Practice Management Essentials

You’ve heard of CRM. Have your heard of CLM? Contract Lifecycle Management takes your documents to your clients and back, from creation to digital signature and approval, and automatically organized to your contact, deal, or project record in CRM. It’s a single touch cycle. No more email, print, sign, scan, print, process. Well take you through CLM, and other wealth management processes that will dramatically change the way your business is run.

Beyond DOL Fiduciary Rule- Retirement Plans and private wealth management- Building a moat around your corporate retirement plan relationships

Join Iron Financial and Epic Retirement Plan Services to talk about a corporate retirement platform that allows participants to invest their retirement assets the same way as they their non- qualified assets. Iron financial is one of the largest Erisa 3(38)’s in the industry. We call this process AxxcessLINK.

Diligence processes for the RIA- Real Estate Diligence

Sealy & Co. head of diligence takes advisors through an institutional process to evaluate deal flow and support your clients real estate decisions. The Axxcess Platform is built to track monitor and report on your clients direct, and syndicated real estate holdings.

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Conference Tracks

Client Experience

Portal by Axxcess: Business development through aggregation.
Being more client centric while understanding your points of engagement will help you deliver your services more effectively, and efficiently. Axxcess Platform hosts aggregation engines within your brand, directly from within your website. Linking client accounts will help you gain wallet share, complete a more holistic approach for your clients, and digitize data to seamlessly integrate into the tools you use to support your practice.

Understanding Orions acquisition of Advizr
Integrations have been accelerating the Advisors ability to provide a more seamless investment experience- Orion has integrated financial planning into the Orion Connect suite. Learn this tool to enhance your financial and retirement planning needs.

Engaging your clients through investment scenario analysis:
Axxcess provides you a curated library of investment solutions with your partnership. We will demo the enhancements to our Allocator.

Dynamically keep track of your clients overall Org Chart. Fully reconciled values from brokerage, insurance, and private assets flow daily into your clients Asset-Map. Understand how to simplify complex estates, and business structures and provide your clients an integrated, updated solution for more complex families. This is one of the coolest technologies we have seen. The integration with the platform has transformative impact for every advisor.

The Value of a demo client persona in your Mobile App environment – Axxcess will brand and publish your mobile client portal app in the app stores of google and apple, giving your client an unparalleled experience. Demo the functionality in person and discover how to bring your brand to your client.

FRIDAY **Conference Tracks**

March 6 **Investment Solutions**

Goldman Sachs

Goldman Sachs- Axxcess Platform and Goldman Sachs have partnered to bring Advisors a number of support and resources that include prime broker services and trading, OTC options and structured products trading, and securities based lending solutions for your clients. In addition, Goldman runs two SMA strategies that are exclusive to the Axxcess Platform that can be added to your clients existing brokerage accounts in our UMA/UMH Axxcess Allocator.

The Private Investor Product Group at Goldman Sachs is a cross-asset desk that provides large institutions and RIAs access to customized portfolio solutions and the Securities Division's capabilities.
Portfolio solutions include, but are not limited to, hedging and asset preservation strategies, enhanced income generation notes, equity outperformance strategies, and FDIC insured CDs that can potentially provide uncapped equity market upside. The desk also provides hedging and monetization strategies (i.e. collars and Prepaid Variable Forwards) for concentrated single stock positions. Providing a wide range of investment payouts and underlying exposure, there are solutions for pure asset allocators as well as investors who want to implement a tactical view across equities, rates, commodities, and currencies.

In addition, Axxcess Platform will be launching Direct Indexing with GSAM- These index strategies will be run as GSAM managed sleeves on our UMA/UMH platform. Direct Indexing is a Tax Loss Harvesting strategy that offers S&P 500 (and other indexes) market exposure by buying individuals stocks while actively harvesting (selling) capital losses. Harvesting losses provides a tax benefit that investors can use to offset capital gains in other parts of their portfolios, potentially reducing their overall tax bill. After harvesting losses, the strategy buys new stocks to maintain the style and risk exposures similar to that of the underlying Index.

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Conference Tracks

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Investment Solutions

SKYVIEW INVESTMENT ADVISORS LLC

OCIO- Meet with Skyview Advisors (NY) Skyview joins the Axxcess Platform as our first OCIO. Leverage significant resources and Partner with Skyview to bring custom portfolio construction and oversight to your practice. Skyview partners experience include:

Goldman Sachs: Partner, Management Committee, Co-head Global Equity & Econ Research
Merrill Lynch: Director & Global Head of Securities & Economic Research Division
Riverview: Co-founding Partner, CEO & CIO, institutional alternative investment management
Daiwa Securities: Co-head, Global Equity Derivatives & Trading
Soros Fund Mgt: Senior Director – Manager Research and Risk Analysis

SkyView's partners **average 30 years investment experience** at senior levels
Collaborative client relationships based on transparency and alignment of interests
Disciplined investment process supported by a scalable institutional infrastructure
Value-added solutions constructed to help you achieve your goals
Seasoned professionals with complementary skills
Esteemed Board of Advisers including Dr. Harry Markowitz, Nobel Laureate: Economics and "Father of Modern Portfolio Theory"– (consulting and working with team members since 1992).

FRIDAY **Conference Tracks**

March 6 **Investment Solutions**

The firm actively manages four different investment strategies which span a range of asset classes and investment objectives.

Hilton maintains a strong focus on customer service. Our products are designed to meet the needs of both individual and institutional investors. Hilton's strategies are centered on sound investment decision making with strong emphasis on downside protection. Obsessive attention to detail, open communication with investors and advisors and a willingness to challenge conventional wisdom and view the markets both tactically and strategically have created a culture of success at Hilton that is unparalleled. Everyone at Hilton Capital has a voice, which is one of the reasons our team is highly tenured and our clients stay with us for so long.

As a leader in industrial real estate investment, we are a trusted partner to a wide range of capital investors including investment interests with 3rd generation partners up to the largest teachers' retirement fund in the United States. Sealy has leveraged its proven track record in industrial real estate investment to develop investment solutions for entrepreneurs, high-net worth individuals, family offices, foundations, endowments, and institutional capital. Our full-service platform employs a straightforward investment strategy that has served us well for over the last 50 years of investing. We strive to provide investment opportunities through sourcing the acquisition of high quality, well located assets, create value by addressing any property or business issues through aggressive asset management, and sell the assets once the objectives are accomplished to deliver compelling risk-adjusted returns.

SOURCE opportunistic, income-producing real estate investments through our long standing local market alliances.

CREATE VALUE by executing property-specific investment strategies that include financing, asset/property management, repositioning, and development.

SELL investments strategically to enhance investor returns.

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Investment Solutions

First Trust

First Trust Advisors L.P. is an investment advisory affiliate of First Trust Portfolios L.P. and offers customized portfolio management to meet the specific financial objectives of investors. First Trust offers managed accounts for Large-Cap, Small-Cap and Multi-Cap investors. These accounts are managed by our in-house team of analysts and portfolio managers using a structured, quantitative approach to security selection. In addition, First Trust utilizes the input of experienced firms such as Morningstar Investment Management LLC. to create portfolios based on Morningstar Investment Management's Asset Allocation Techniques and Value Line®'s research to create portfolios based on its ranking methodologies

Auour Investments

Auour Investments of Boston Ma will be launching managed accounts and model portfolios run exclusively with First Trust on the Axxcess Platform as stand alone solutions for your portfolio, or as a compliment to an existing advisor directed strategy.

BOLLINGER CAPITAL MANAGEMENT, INC.

Bollinger Capital Management's ESG strategy is being launched by Axxcess Platform. Bollinger Capital Management has been serving clients since 1988 and utilizes tools and techniques developed by John Bollinger, such as Bollinger Bands. Bollinger's strategy is based on an ESG index the firm pioneered and is comprised of companies focused on, but not limited to clean energy and energy efficiency, reduction of waste and pollution, clean water and water conservation, sustainable production and supply chain, sustainable food systems and hunger reduction, and improving healthcare outcomes. This strategy is managed by John Bollinger, CFA.

FRIDAY March 6

Conference Tracks
Investment Solutions

AXXCESS
www.axxcessplatform.com

Platform Managers and Partners

ATHENAINVEST
Kayne Anderson Capital Advisors, L.P.
STIFEL
NAVELLIER Calculated Investing
EPIC Retirement Plan Services

Goldman Sachs Asset Management
CAIS
Cunat Investment Management, LLC
GRIFFIN CAPITAL guardians of wealth
EMPIRICAL ASSET MANAGEMENT
Potomac ADVISORS

DIAMOND HILL CAPITAL MANAGEMENT
HIGHMORE
Principal
LEGG MASON GLOBAL ASSET MANAGEMENT
Strategic Global Advisors
SPIDERROCK PLATFORM

Catalyst Funds Intelligent Alternatives
SEALY
SHARESPOST 100 FUND
AZA CAPITAL MANAGEMENT
ARK INVEST
Zacks INVESTMENT MANAGEMENT
ALTA CAPITAL MANAGEMENT

Auour Investments
First Trust
IRONFINANCIAL
Bollinger Capital Management
FRANKLIN TEMPLETON
NUVEEN ASSET MANAGEMENT

HILTON CAPITAL MANAGEMENT
CAPRIN
Anchor Capital
Scarecrow TRADING every single day
Principal
CION INVESTMENTS
STATE STREET GLOBAL ADVISORS
ClearBridge Investments

In addition to the main session, you will find opportunities to transform your wealth management practice with direct interaction with the resources most important to your practice.

Breakout Sessions

Full exposure to the various investment managers on the Axxcess Platform as well as the tools and technology.

Workshops

Practice management, client experience, or tech stack. Workshops in dedicated room hosted by the Axxcess Platform Staff to answer your specific questions.

One on One Sessions

Book time with specific Axxcess departments, operations, investments, reporting, and marketing. Book time with investment managers to explore their strategies provided on the Axxcess Platform.

Networking

Opportunity to meet peers and interact with other industry leaders.

JOIN US AT THE CAPE REY HOTEL, Carlsbad CA
March 5th for an evening reception and March 6th for a full day at the conference
1 Ponto Rd, Carlsbad, CA 92011

Breathtaking ocean views await at Cape Rey Carlsbad Beach, a Hilton Resort and Spa. The refreshing breeze welcomes you; prepare to indulge in poolside relaxation with no schedule except for your next spa treatment and sunset dinner reservation. With the captivating Pacific coastline on your doorstep, there is much to explore. Just 150 steps to the sand, take surfing lessons or play a round of golf at the nearby Crossings Golf Course and Lego Land Carlsbad.

Follow this link for a group room rate of $209/night valid offer until February 19th, 2020 : https://www.hilton.com/en/hi/groups/personalized/S/SANRSHF-AXX-20200305/index.jhtml

For questions contact Alexis Brock – alexis@axxcesswealth.com or call us at 866-217-5607