www.axxcessplatform.com

Transition Guide

CONTACT
Axxcess Wealth Management, LLC
6005 Hidden Valley Rd, 290
Carlsbad CA 92011

AXXCESS
ADVISOR ONBOARDING

Axxcess helps Advisors better address the needs of their business.

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

WELCOME TO AXXCESS.
We are excited to have the opportunity to partner with you.

INTRO

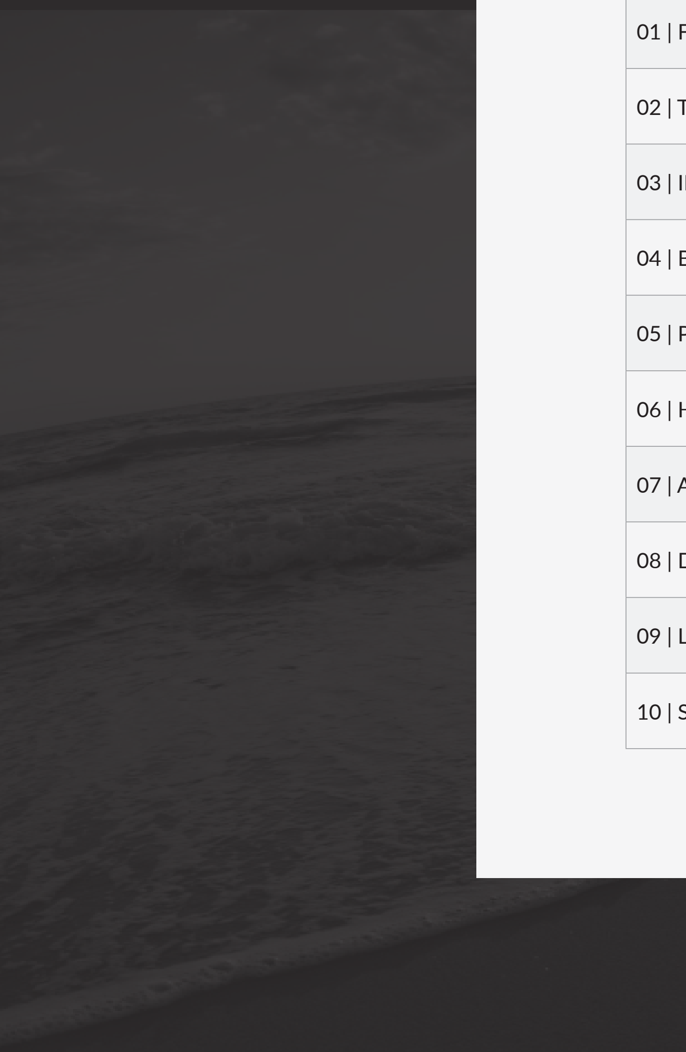
Our platform is built for the experienced Advisor looking to improve its current RIA platform, or as an operational solution for a high caliber professional thinking of going independent and seeking a seamless transition.

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.

Working with Axxcess Platform, 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.

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

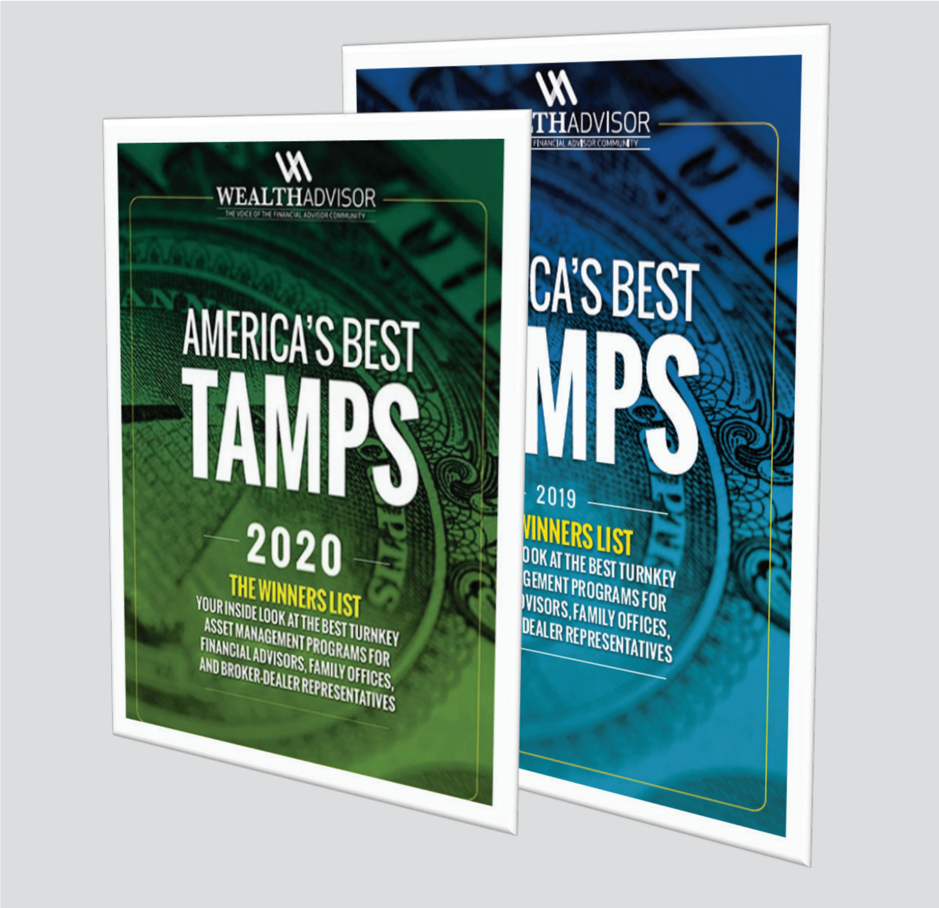
AXXCESS AT A GLANCE



01 | FOUNDED	2011
02 | TAMP LAUNCHED	2016
03 | INDEPENDENT RIAS SUPPORTED	25
04 | BDS SUPPORTED	7
05 | PLATFORM ASSETS	4.5B
06 | HOME OFFICE	CARLSBAD CA /SCOTTSDALE AZ
07 | ADVISORS SUPPORTED	125
08 | DIFFERENTIATED SERVICES FOR HNW	
09 | LEADING MANAGERS	+40
10 | SMA STRATEGIES	+150

SERVICES

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



Axxcess provides a platform service model that helps you implement your firms goals. RIA firms are 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 make this transition quickly and efficiently.

We provide investment operations and portfolio management solutions, custom reporting, billing, client portal, and CRM integration to our clients which include single and multi-family offices, traditional wealth advisory firms and money managers

- Transform your proposal, IPS generation, account onboarding, and client servicing models
- Use technology to enhance the personal services you must provide to your clients to stay relevant and competitive
- Blend traditional SMA strategies with private equity, private credit, and hedge funds in the same account
- Practice management meets client experience. Create rich, integrated reports, and deliver them to your client

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.

Customized Portfolio Platform

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

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 client's wealth.

CREATE A RICH CLIENT EXPERIENCE

Working with Axxcess Platform, 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.

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

AXXCESS **ONBOARDING**

Axxcess partners with you to help every step of the way. Our seasoned management team helps you focus on your client experience.

Axxcess supports three transition models. We support you and your own independent firm through our high end TAMP solution. You can join our RIA and use your own brand or ours, or we can “incubate” you and your team through your transition until your new firms registration is effective.

YOUR RIA

Axxcess Platform is an accelerator for your RIA. Axxcess can help you move your business upstream, generate and keep more of your “A” clients, and help you scale your business. No equity, no brand dilution, just a platform partner that reconnects you and your clients, and frees you from the operational challenges of running your RIA>

JOIN AXXCESS

Run your brand and your practice from inside our RIA. Leverage our compliance, reporting and billing , and extensive trade execution and model management. Axxcess takes no equity in your business and will establish straightforward, competitive economics.

INCUBATE

If you desire to run your own firm, but are challenged to align your objectives and transition timelines, Axxcess will transition you from your current firm on our books and records while you establish your RIA in parrellel . Once your firm 's registration is approved, we will port you fully transitioned business to your own RIA, with no break in service or disruption to your clients.

“AXXCESS PORTAL IS A UNIQUE PLATFORM THAT GIVES CURRENT CLIENTS THE ABILITY TO SELF ONBOARD WITH YOUR NEW FIRM. AN ADVISOR WITH RESTRICTIVE CONTRACTS, OR BROKER PROTOCOL CHALLENGES, GAINS AN ENORMOUS EDGE IN CLIENT RETENTION.”

TECHNOLOGY **INNOVATION**

Axxcess provides truly differentiated processes and technology to ensure your clients transtion, in addition to yours, is an execptional experience.

OUR PLATFORM IS BUILT ON INDUSTRY LEADING TECHNOLGOY.

The Axxcess Platform differntiates itself through a technology services model. Other firms give you a tool kit to choose from, charge you for the privelidge and send you on your way. While the Axxcess Platform is technology driven, our team maintains the highest level of service to you and your team, supporting, operating, and executing for you.

PORTAL

Axxcess has a development and creative team in house to design your Advisor site to give you more than a digital presence.
Give your prospects an experience before becoming a client. Onboard your prospects outside accounts, bank, lending, and private assets within your own branded environment. No more statements!

ALLOCATOR

The centerpeice of the Axxcess Platform. Portfolio and model construction tools that allow you to seamlessly allocate your custom and model strategies with SMA strategies of some of the worlds finest asset managers, all within a single brokergage account.

CRM/CLM

From campaign management, social media marketing, project management, and fully integrated digital document, and contract lifecycle management, the Axxcess CRM combines best in class innovation to drive the most efficient practice management experience.

- Business entity formation, contract review, and the development of the transition plan.
- Brand development, personalized project plan, Axxcess Portal design and customization.
- Technology stack, Investment operations and execution processes, deployment strategy and training.
- Middle and back office program design and implementation strategy.
- Budgeting, on-site assistence, custodial partnership integration.
- End to end Client conversion process focused on outstanding client experience and efficient practice management.

AXXCESS PLATFORM **TECHNOLOGY**

The Axxcess Platform solves a number challenges facing Advisors who work with high net worth clients. Our technology is built to both simplify the client experience, and to create scale and efficiency. Our niche focuses on the needs of high caliber advisors seeking a seamless transition or as an enhancement to their existing RIA.

03

THE AXXCESS PLATFORM 15

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.

DIGITAL PROSPECT ONBOARDING

CONTRACT LIFECYCLE MANAGEMENT

CRM

BILLING AND REPORTING

CUSTOM BRANDED AGGREGATION

BRANDED MOBILE APPS

WORKFLOW, CAMPAIGN, SOCIAL MEDIA, PROJECT, AND BUSINESS INTELLIGENCE

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.

Upgrade your practice

Our integrated technology creates a seamless solution. Build meaningful proposals after on-boarding your clients through your white labeled prospect portal. Create a paperless environment that generates client engagement.

Engagement, Client Profiling, and IPS workflow management automate and increase efficiency in your practice.

CLIENT CONVERSION /RETENTION

Axxcess has extensive advisor practice transition experience. Our team has transitioned wire house advisory teams, broker dealer hybrids, and stand alone RIAs. Our team will help you manage the conversion /retention process on a detailed, milestone drive execution timeline, supporting the contract, regulatory, asset mapping, custodial, and operational processes to ensure an execptional client experience.

TRAINING AND SUPPORT

Axxcess dedicated to operationalizing your business day one. You can focus on your clients needs and getting your business up and running. Our training and support will accelerate your learning and focus on the aspects of your practice to help you scale , increase your margins, and lower your operating costs.

BUSINESS DEVELOPMENT

Our platform is designed to help you exceed your clients expectations. Your prospects can digitally aggregate and onboard their outside accounts directly inside your branded website and portal. Engage your prospects with our digital marketing and campaign management to connect and message your value proposition accross a wide range of channels. All supported within the Axxcess Platform.

- Data is segregated in your own child database.
- Fee billing on monthly, quarterly, flat, tiered and even performance based.
- Run your own models, custom allocations, and blend third party managers with PE, hedge funds, and real estate.
- Custom mobile application developed for your brand on IOS and Android platforms.
- Financial planning and reporting integrated in one client portal experience.
- A service model that supports your business with no closed end contracts or equity partnerships.

HOW WE WORK

Axxcess will provide a custom solution to your transition plan. We will develop a business model strategy, transition project with precise milestones, tasks and execution committments to you. You will have a dedicated team responsible for your transition with us. We bring a deep understanding of every functional area of wealth planning, investment strategy, regulatory and compliance support, and business operations. You and your team will have an exceptional transition experience partnering with Axxcess.

EXECUTE NDA

Your business and client data are strictly confidential. As are our commitments to you. We will discuss your transition under NDA, or with your counsel to ensure you future plans are know only to you.

MOU

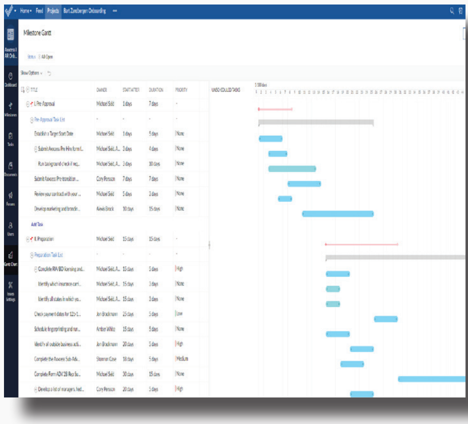
We will outline the economic and business committment we will make to you in writing . Our MOU will be drafted to meet your model, and support requirements.

POST TRANSITION

Growth strategies start with a successful transition retaining the business most important to you. Launch of your marketing, business developement and growth accelerators are incorporated into your transition plan.

- You own your clients, your brand and your future.
- We have solved the challenges of supporting the ultra high net worth investor is facing.
- Align yourself with your A clients. RIA biling that includes performance based fee billing.
- We earn our partnership with you the same way you do with your clients.
- Create a true moat around your client relationships by simplifying complex challenges
- Manage sophisticated strategies in a single brokerage account.
- Axxcess was built on the experinces of running family offices.
- Track your clients direct investments before the liquidity event.
- Option overlay, prime broker, investment banking and M and A services.

WHAT YOU CAN EXPECT



Transition timelines are a function of your current firms relationship with you, your current custodians, and client account structure. Generally, if you are working on an independent custodian like Schwab, or TD, and you do not have restrictive covenents in your employement agreement, we can undertake transitions in as short as 45 days. We have established digital workflows to allow most transition documents to be signed by clients digitally.

UMA/UMH

Axxcess has built an industry leading solution for high net worth clients and the advisors that serve them. Our UMA/UMH solution is an organic, direct relationship with some of the worlds best money managers, deployed on the custodian of your choice, in a single brokerage account.

ADVANCED SYSTEMS

Integrated platform with advanced analytices, and practice management efficiencies led by people that use the same systems every day.

EXECUTION

Prospecting and business development for advanced markets, paperless workflows, planning, portfolio constructions, hedging, optimization, and trade execution services, are seamlessly blended to a reporing engine tha t allows you to track, bill and report on private equity, private credit, real estate and hedge funds.

- Partner with a platform that brings you and your client closer together.
- Custodial platforms to support your business, with data feeds and reporting from leacing firms.
- Internal and external regulatory compliance with marketing, social media, and traditional support
- Every technology can be white labeled. Were in it for your brand, not ours.
- Schwab, TD, Interactive, Morgan Stanley, Goldman Sachs, and leading self direct trust Cos.
- Advisor web design, and creative team works in house to build your brand.
- Partner unobstructed with the leading firms for research, OCIO, and asset management
- Cyber security, E and O, and leading fiduciary best practices to support your practice.
- Private asset reporting for real estate, PE, and hedge funds creates a true family office service.

AXXCESS PLATFORM PARTNERS

Axxcess supports the direct deployement of technology, and uses that technology every day to support you and your business. Technology is at the core, but unlike other firms, technology never gets in between you and your client. Advisors connect directly with leading investment managers, diligence, research, prime brokers, custodians, and alternatvive investments to empower you to assemble the best client experience. Axxcess Platform curates services specifically designed to meet the needs of family offices and ultra high net worth clients, and the advisors that serve them.

ORION ADVISOR TECH

Axxcess is member of Orions advisory board, and a leading innovator in sleeve strategy technology in partnership with Orion. Axxcess has been customizing and growing its business with Orion Advisor Tech since 2015.

ALLOCATOR

Built in collaboration with Hidden Levers, the Axxcess Allocator is a joint development success combining alternative investment and traditional allocation stress testing, proposal, and direct digital allocation that allows advisors the best analytical, and allocation engive you have ever seen.

PORTAL

Axxcess will design, code, and deploy your corporate portal. Embedded is a unique call to action that allows your prospects to onboard their outside asset digitally. Feed in accounts from virtually everyone into a end to end system that allows you to gain significant visibility and wallet share.

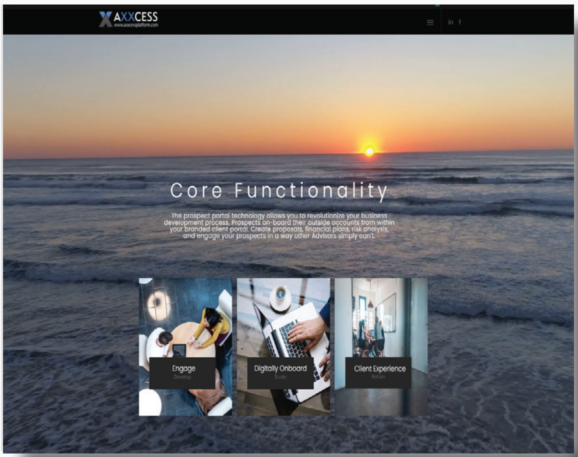
AXXCESS PLATFORM MANAGERS

Axxcess built its UMA and UMH platform specifically for sophisticated investors.

Axxcess will provide security mapping, direct indexing, and household level tax rebalancing.

Axxcess offers option overlay, customized fixed income, and a full suite of tactical and strategic investment managers and solutions.

Axxcess Platform allows you to bill different fees on different client strategies, and track each strategy at the sleeve level. All in a single brokerage account.



GIVE YOUR PROSPECTS AN EXPERIENCE BEFORE BECOMING A CLIENT

The prospect portal technology allows you to revolutionize your business development process. Prospects on-board their outside accounts from within your branded client portal. Create proposals, financial plans, risk analysis,and engage your prospects in a way other Advisors simply can›t.

Axxcess Portal helps you grow your advisory practice. Engage with your prospects and clients in a transformative experience that combines planning, and investment reporting for your firm.

CRM/CLM/CAMPAIGNS

Contact maangement, digital contract lifecycle management (means you and and your clients will never print, sign, scan, upload again) and campaign and project management, all in one integrated platform.

CUSTODIANS

Axxcess is a TAMP partnered with Schwab, TD, NFS and Pershing, LLC Axxcess IARs can Advisor Partners can custody directly with with the above firms, as well as Morgan Stanley and Goldman Sachs.

TRADE ORDER MANAGEMENT

Axxcess trades strategies of some of the largest investment management firms, and some of the niche-est and most unique. We can trade for you. Our model managment and trade order management services allows you to scale your business.

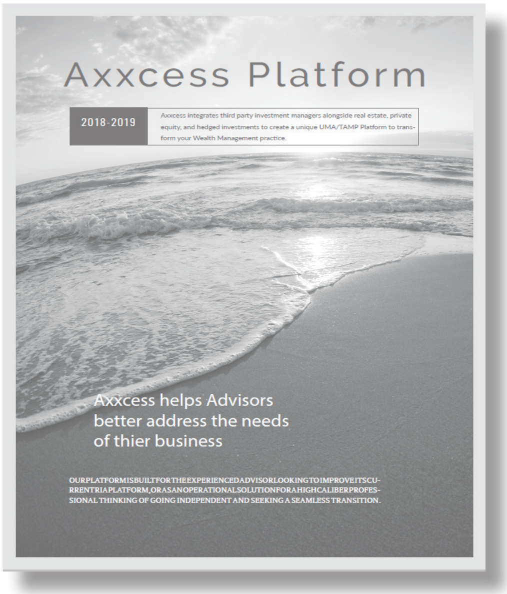
AXXCESS PLATFORM ALTERNATIVES

Invest directly with Private Equity, Real Estate, and hedge funds. If you are coming from a wire house, and have proprietary feeder funds that you are worried about leaving behind, we have solved that problem for you. We can bill and report on proprietary investments that wont transfer to an independent custodian. Axxcess has partnered with several premier wire houses to manage money as an independent firm with access to both proprietary deal flow, prime broker, research, and trade desks. Axxcess has built several direct lending relationships to support liability and cash management services typically offered through wire house solutions.

WHAT YOU WILL GET NOWHERE ELSE.

YOU ARE AT A WIRE HOUSE? PAY ATTENTION......

If you subject to restrictive covenents, or part of a non-broker protocol firm, talk to us about our portal technology. You can visit us at axxcessportal.com to understnad the power of aggregation and your transition.



You sold your soul. Its true. You are a W2 employee. It is a very real question to ask yourself...do you really own your clients? You can't take advantage of the very planning techniques you advise your own business clients to employ. You live in a high tax state (ask us about California...), and if you could just run your production through your own P and L, your income pickup would be signficantly in the six figures. Your firm is dealing with PR headwinds and you cant get around them. Your office shrinks every quarter, and every negative thing that you deal with can be attributed to beuracracy, and compliance. Then you think about independence. Then you read your contract, and you look at the time and money left on your note. How can transition be a reality for you? Your top clients need to move with you. You may want all your clients to move with you. How do you resign, then start the process?

Axxcess has developed a direct onboarding process where your client self onboards, rather, volunteers their data, links the very accounts you will transition giving you access to the transition data your employement contract prevents you from using to pre-fill documents for your transition. Your firm does not own your client. Your client decides who will serve them. Our aggregation engine creates a single sign on for your client to link their accounts, creating a live feed of position, pricing, and transaction data. Our systems digitize the onboarding process from there. All from within your brand.

Our portal technology is a unique client and prospect experince. Ask us for a demo today.

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Contact:
866-217-5607

Email Inquiries:
alexis@axxcesswealth.com

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