www.axxcessplatform.com

CONTACT
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AXXCESS PLATFORM

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 your wealth management practice.

INTRO

AXXCESS PLATFORM
ADVISOR ONBOARDING

Our platform is built for the experienced advisor looking to improve their 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 invest with. They are giving their best 'asset allocation' models away for 'free.' Your value proposition is changing very quickly, and firms with more resources are re-positioning themselves to compete.

Working with The Axxcess Platform, our Advisor Platform Partners enjoy a fully branded, integrated, and reconciled Investment Platform that incorporates sophisticated investment approaches into a consolidated view of their clients' wealth.

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

AXXCESS PLATFORM AT A Glance

01 | FOUNDED	2011
02 | TAMP LAUNCHED	2016
03 | PLATFORM ASSETS	11.7B
04 | HOME OFFICE	CARLSBAD CA / SCOTTSDALE AZ
05 | ADVISORS SUPPORTED	170
06 | ALT REPORTING/BILLING	✔
07 | LEADING MANAGERS	60+
08 | SMA STRATEGIES	370+

Services

We leverage cutting-edge technology to enhance the services an advisor must provide to stay relevant and competitive in today's market.

Axxcess provides a platform-service model that helps advisors implement their firm goals. Advisors can't upgrade their systems themselves due to budget and time constraints. The prospect of changing legacy systems can feel insurmountable alone, leaving RIA firms stuck with systems that don't offer reconciliation, online portfolio reporting, or multi-manager, multi-asset capabilities. Axxcess makes this transition quickly and efficiently.

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

- Transform your proposal, IPS generation, account onboarding, and client servicing models.
- Leverage technology to enhance the personal services you must provide to your clients to stay 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 via paper, mobile, online portal, or video.

Your **Relationship** With **Us**

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

AXXCESS CUSTOMIZED PORTFOLIO PLATFORM
Sleeve manager and UMA technology with your choice of custodian. Private asset platform/AIP model and trade re-balancing.

WORKING WITH AXXCESS
Advisor Platform Partners enjoy a fully branded, integrated, and reconciled Investment Platform that organizes sophisticated investment approaches into a consolidated view of all of their client's wealth.

CREATE A RICH CLIENT EXPERIENCE

Working with The 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 fully integrated basis. Enhancing your business doesn't require you change everything all at once.

PLATFORM On-Boarding

Our seasoned management team helps you focus on your client experience.

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

TECHNOLOGY Innovation

OUR PLATFORM IS BUILT ON INDUSTRY LEADING TECHNOLOGY.

Axxcess provides truly differentiated processes and technology to ensure that your clients’ transition, in addition to yours, is an exceptional experience.

The Axxcess Platform differentiates itself through a technology services model. Other firms give you a tool kit to choose from, charge you for the privilege 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.

YOUR RIA

The 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 by freeing 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, 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 parallel. Once your firm’s registration is approved, we will port your fully transitioned business to your own RIA, with no break in service or disruption to your clients.

PORTAL

Axxcess has developed a creative team in-house to design your fully-branded website, giving you more than a just 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 centerpiece of the Axxcess Platform, the Allocator is a portfolio and model construction tool that allows you to seamlessly allocate your custom and model strategies, with SMA strategies from the world’s preeminent asset managers, all within a single brokerage account.

CRM/CLM

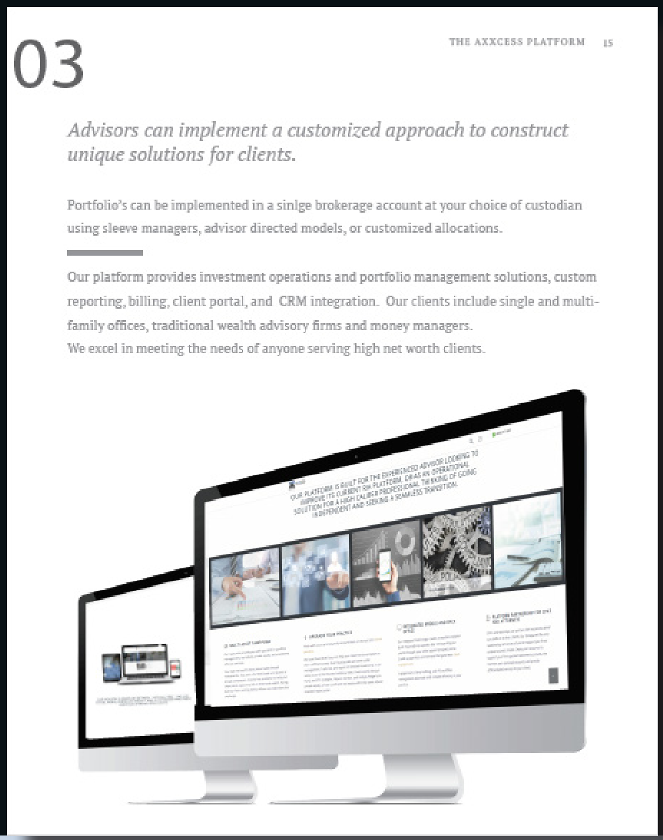
From campaign management, social media marketing, and project tracking, to fully integrated digital documents and contract lifecycle management, the Axxcess CRM combines best-in-class innovation to fuel the most efficient practice management experience.

> ***“The Axxcess portal is a unique platform that gives current clients the ability to self-onboard with your new firm. Advisors with restrictive contracts, or broker-protocol challenges, gain an enormous edge in client retention.”***

- Business entity formation, contract review, and 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 assistance, 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 of challenges faced by 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 to independence, or as an enhancement to their existing RIA.



- Digital Prospect Onboarding
- Contract Lifecycle Management
- CRM
- Billing and Reporting
- Custom Branded Aggregation
- Branded Mobile App
- Workflow, Campaign, Social Media, Project, and Business Intelligence

UPGRADE YOUR PRACTICE

Work with us on an account-by-account basis, or across your entire practice. We have found that if you can help your clients track and report on their inefficient assets, their liquid assets will eventually come under management. Track, bill, and report on directed investments in the same account that houses traditional SMA, fixed income, mutual funds, and ETF strategies. Report, monitor, and analyze hedge funds, private equity, private credit and real estate within the same advisor branded report portal.

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

Engagement, client profiling, and IPS workflow management 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 execution timeline, supporting the contract, regulatory, asset mapping, custodial, and operational processes to ensure an exceptional and consistent client experience.

TRAINING & SUPPORT

Axxcess is dedicated to operationalizing your business day one. You can focus on your clients' needs while we get your business up and running. Our training and support staff will accelerate your business by concentrating on the aspects of your practice that will help you scale, increasing your margins, and lowering 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 online portal. Engage a broader range of prospects with our digital marketing campaigns to communicate your value proposition across multiple channels.

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

HOW WE WORK

Axxcess prides itself on its commitment to an exceptional transition experience, by providing a custom solution for your firm's transition needs. We will develop a business model strategy with a transition timeline using precise milestones, tasks and execution deadlines. Axxcess provides a dedicated team responsible for your transition, with a deep understanding of every functional area of wealth planning, investment strategy, regulatory, compliance, and business operations.

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 legal counsel, to ensure your future plans are known only to you.

MOU

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

POST TRANSITION

Growth strategies start with a successful transition that retains the business most important to you. Marketing, business development, 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.
- Align yourself with your 'A' clients. RIA billing 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 experience of running family offices.
- Track your clients direct investments before the liquidity event.
- Option overlay, prime broker, investment banking, and M & A services.

WHAT YOU CAN EXPECT

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

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

A fully integrated platform with advanced analytics 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 all seamlessly blended into a reporting engine that 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 leading firms.
- Internal and external regulatory compliance with marketing, social media, & traditional support.
- All technology can be white labeled. We are in it for your brand, not ours.
- Schwab, TD, Interactive, Morgan Stanley, Goldman Sachs, and leading self direct trust custodians.
- In-house creative team for advisor web design and digital marketing collateral to build your brand.
- Partner unobstructed with leading firms for research, OCIO, and asset management.
- Cyber security, E & O, and leading fiduciary best practices to support your business.
- Private asset reporting for real estate, PE, and hedge funds creates a true family office service.

AXXCESS PLATFORM PARTNERS

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

ORION ADVISOR TECH

Axxcess is a member of Orion's advisory board, and is 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 investments with traditional allocation stress testing, proposals, and direct digital allocations, the Allocator gives advisors one of the best analytical, and allocation, engines on the market.

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 account assets, digitally. Combine accounts from virtually anywhere into an end- to-end system that empowers you to gain significant visibility and wallet share.

AXXCESS PLATFORM MANAGERS

Axxcess built its UMA/UMH platform specifically for sophisticated, HNW investors.

Axxcess will provide security mapping, direct indexing, and household level tax re-balancing.

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

The 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

Our prospect portal technology revolutionizes your business development process. Prospects self-onboard their outside accounts from within your branded client portal. Within the portal, you can create proposals, financial plans, and risk analysis, engaging with your prospects in a way other advisors simply can't.

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

CRM/CLM/CAMPAIGNS

Contact, digital contract lifecycle, and campaign/ project management, all in one integrated platform. You and your clients will never need to print, sign, scan, or upload again.

CUSTODIANS

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

TRADE ORDER MANAGEMENT

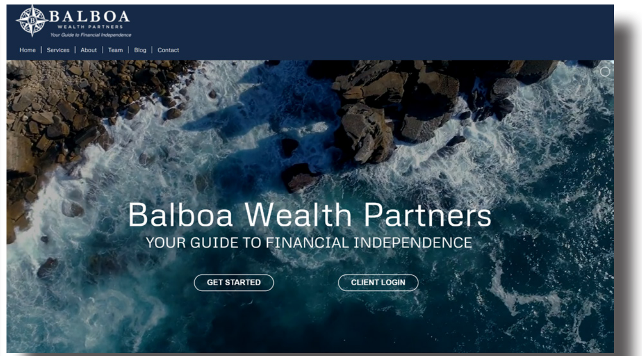
Axxcess trades strategies from some of the largest and most unique investment management firms in the country. Our model and trade order management services allow you to scale your business by executing trades on your behalf.

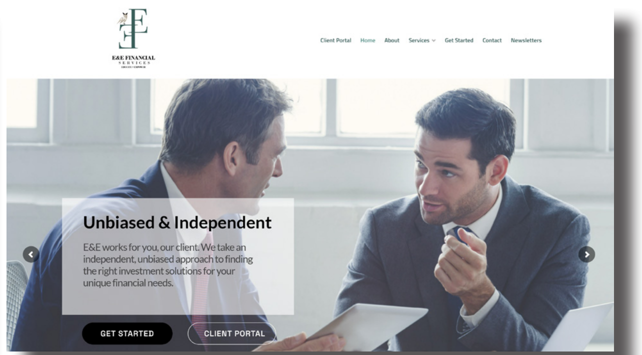
AXXCESS PLATFORM ALTERNATIVES

If you are coming from a wire-house and have proprietary feeder funds you are worried about leaving behind, we are way ahead of you. We can bill and report on proprietary investments that can't transfer to an independent custodian. Axxcess has partnered with several premier wire-houses to manage money as an independent firm, with access to proprietary deal flow, prime broker, research, and trade desks. Axxcess has also built several direct lending relationships to support liability and cash management services typically offered through wire-house solutions.

WHAT YOU WILL GET NOWHERE ELSE

If you are 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 understand the power of aggregation and your transition.

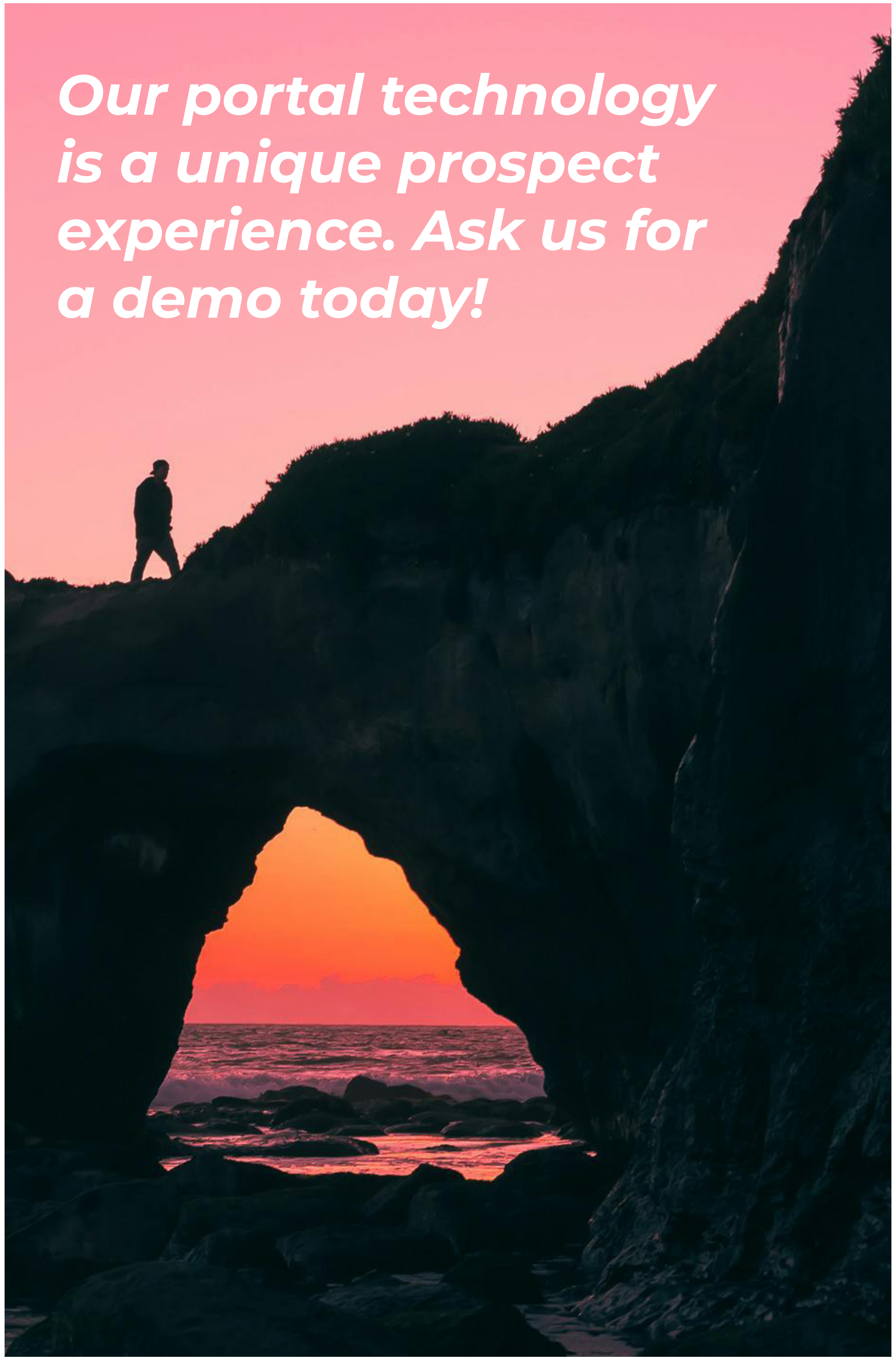




You sold your soul. It's true. You are a W2 employee. It is a very real question to ask yourself... Do you really own your clients? You can't take advantage of the very planning techniques you advise your own clients to employ. You live in a high tax state (ask us about California...), and if you could just run your production through your own P & L, your income pick-up would be in the six figures. Your firm is dealing with PR headwinds and you can't get around them. Your office shrinks every quarter, but every negative thing that you deal with can be attributed to bureaucracy 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 need all your clients to move with you. How do you resign and start the process?

Axxcess has developed a direct onboarding process allowing your clients to self-onboard, volunteering their data and linking the very accounts you will transition. This gives you access to the transition data your employment contract prevents you from using to pre-fill documents for your transition. Your firm does not own your clients. Your clients decide who will serve them. Our aggregation engine creates a single sign on for your clients 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, without an interrupting your service.



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Axxcess Wealth Management, LLC.
An SEC Registered Investment Advisor