

Clearing Evolved



axos[®]
CLEARING



Meet Axos Clearing

Today's broker-dealers face many challenges: rising costs that outweigh benefits, lower margins, a rapidly changing regulatory environment, and industry-wide consolidation leading to increased competition for registered representatives.

To remain competitive, it's essential to align with a partner who is focused on your success. Axos Clearing has been providing clearing solutions that empower introducing broker-dealers to achieve their business goals for almost 20 years. Our experienced team customizes solutions to fit your business' unique needs, helping you scale, increase operational efficiencies, and manage costs. With the help of our supportive team, you can focus on what you love most: growing your business.

Our technology offerings and partnerships with top industry providers can enable you to effectively navigate changes and employ the latest advancements in the financial services space. We provide relationship-based service, taking a white-glove approach to every firm, no matter their size.



Axos Clearing is headquartered in Omaha, Nebraska with offices in New Jersey and Las Vegas. In 2019, Axos Clearing became a subsidiary of Axos Financial (NYSE: AX), a diversified financial services company with more than \$14.3 billion in assets and parent of Axos Bank. Now, as a hybrid clearing firm and financial services company, our powerful, integrated solutions give broker-dealers the ability to offer a wider range of services and products to their clients.

What We Offer

At Axos Clearing, we don't mind breaking from the pack to deliver evolved clearing solutions. Our focus is on providing flexible solutions, responsive service, innovative technology, and convenient pricing.

Flexible Solutions Designed for Your Business Needs

Broker-dealers need solutions that fit the needs of a diverse clientele. Axos Clearing solutions are designed with this in mind. Our solutions include:

- **Clearing Services:** Axos Clearing has clearing and settlement capabilities for all domestic and foreign securities in equities, options, mutual funds, and fixed income products. Our global clearing capabilities include multi-currency settlement and reporting. Together our professional team and our sophisticated trading technology enable us to provide the best clearing services for our firms.
- **Custody Services:** As a custodian, Axos Clearing's Axos Advisor Services provides safekeeping, asset servicing and reporting. To protect advisor firms and their clients, we maintain physical, electronic and procedural safeguards in accordance with legal standards and established security procedures. Axos Clearing is a member of the Securities Investor Protection Corporation

(SIPC) and provides account protection up to \$100 million for RIA customer assets held by Axos Clearing.

- **Banking Services:** Firms that work with Axos Clearing can take advantage of succession, merger, and acquisition lending. Our relationship with Axos Bank provides access to traditional banking products including a variety of high yield checking accounts, money market and savings accounts, CDs, and bill pay services. Additionally, Axos Bank offers portfolio-based mortgages and jumbo loans that are not widely available through other banks.
- **Alternative Investment Options:** Axos Clearing offers options for firms whose clients are interested in alternative investments. Our integration with DTCC's alternative investment platform (AIP) allows us to provide end-to-end processing for alternative investments including hedge funds, private equity, non-trade real estate investment trusts, managed futures, and limited partnerships.

Unmatched, Relationship-Based Service

At Axos Clearing, we deliver on our promise to provide exceptional service by putting time and effort into developing personal relationships with the firms who choose us. Every single one.

We take a personalized approach to service with all our clients. Through face-to-face meetings, deep discovery conversations and regular communication, we strive to learn everything possible about our firms, their goals and how we can best support them. As a result, our firms know that when they reach out to us for support, they will be able to connect with someone they know, rather than be sent to a service queue.

Innovative Technology

Through our open-architecture technology platform, Axos Clearing offers robust trading and investing capabilities. Our technology combines analytics from leading data providers, sophisticated order execution features, and

post-trade processing applications. We are committed to always searching for new ways to strengthen our trading technology. Our front and back-office systems are built to support high trading volumes in a real-time processing environment and to interface with multiple trading platforms and market data providers. We are committed to growing our suite of APIs to support greater integration with leading third-party technologies.

Adaptable Solutions

It's time to have the systems and support to help you run your business your way. No matter your firm's size, our experienced team will work with you to find the right solutions. Through regular communication, we consider your feedback and tailor solutions to fit your needs.

Our broker workstations are scalable and can evolve with your business as it grows. Work with our team to explore how you can white label, brand, and customize our systems.



Explore our API Store to find out how you can better streamline workflows, increase efficiency, and enhance client experiences. Our offerings include:

- Account Opening and Maintenance
- Cash Transfers
- Real-Time Balances
- Terms and Conditions

If your business has needs beyond the offerings listed, contact us to see what we can build together.

Who We Serve

Expanded Offerings

In addition to our core clearing and custodial capabilities, we're able to offer comprehensive financing options, access to global exchanges and cutting-edge broker technologies. Backed by Axos Bank, we offer financing and collateral management, global trade executions, lending, and syndicate capabilities. Our range of services can help you offer enhanced services to your clients and grow your own business.

Convenient Pricing

While many other clearing firms have a rigid pricing structure, we've chosen to think outside of the box and

incorporate flexibility into our pricing. Our pricing gives BDs options so they can get the service they need at a price point that is right for their business.

Seamless Transition

Axos Clearing is dedicated to making your transition seamless for you and your clients. Before onboarding, our support team will work with you to provide a comprehensive roadmap of what to expect, customized to fit your needs. You will receive 1:1 live training to help you get up to speed with the necessary platforms and processes as soon as trading begins.

Axos Clearing is committed to providing outstanding support and innovative technology solutions to firms of every size.

Axos Clearing supports:

- **Independent broker-dealers** looking for the opportunity to expand their product offerings and receive additional operational support to support their growing business.
- **Institutional trading firms** who desire working with a clearing firm that supports an open-architecture environment and global trading capabilities.
- **Active and proprietary trading firms** that need a cost-effective partner that can handle large trading volumes and help streamline processes.



Value-Added Services

Firms have access to a variety of value-added services provided by Axos Clearing's partners.

- **Compliance Tools:** Axos Clearing makes available the McDonald Information Services (MIS) system to assist with OFAC, AML, and CIP-related requirements.
- **Research:** Our partner Argus Research Company provides a subscription to financial industry publications for the latest news and trends.
- **Annuities:** Through participation in the DTCC Insurance Services platform, Axos Clearing has access to a broad range of annuity families and active carriers. Firms can gain access to information directly on their workstation.
- **Wrap Platform:** Axos Clearing provides the convenience of fee-based account billing through the Wrap billing system. The platform can also be used to establish asset account allocation models to balance positions held in client wrap accounts.
- **Performance Reporting Tools:** Firms can enhance workflow, manage client portfolios, and communicate investor performance with the Black Diamond portfolio management platform, offered through SS&C Advent.



Learn more

Selecting a clearing firm is an important business decision. We invite you to [schedule a meeting](#) to discuss how we can help you successfully serve your advisors.



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