

A photograph showing two men in an office environment. One man, wearing a light blue shirt and khaki pants, is facing the other man and they are shaking hands. The second man is seen from the side, wearing a green and white checkered shirt and dark jeans. They are standing near a glass partition or window. In the background, there's a dark wooden desk with some papers and a glass of water on it. The scene is lit with bright sunlight coming from behind the subjects.

Meet Axos Clearing

axos[®]
CLEARING

A subsidiary of Axos Financial™

Finding the right custodian for your business can be challenging.





- If you are a small to mid-sized RIA, you may be overlooked by large custodians.
- If you are a larger firm, it may be difficult to find a custodian that offers the solutions and technology you need, without having to compete for clients.

Meet Axos Clearing—the custodian that delivers the solutions you need with unmatched service levels for every firm we serve.

We provide flexible custodian services and access to leading bank products – all backed by innovative technology. Our team of experienced professionals is committed to getting to know you personally, understanding your business goals and delivering unmatched support.

Don't settle. Make the switch to Axos Clearing, where you will find a secure home for your business. Where you no longer need to worry about competing with internal advisors for clients.

Are you ready to make
the switch?

[Schedule a Free Consultation](#)



Axos Clearing Is Custody and Clearing Evolved

The custody and clearing industry evolves when an experienced custodian joins a technology driven-financial services company. That's Axos Clearing.

We've been providing custody and clearing solutions that empower registered investment advisors for more than 15 years. In 2019, Axos Clearing became a subsidiary of Axos Financial (NYSE: AX), a diversified financial services company with more than \$11.2 billion in assets and parent of Axos Bank.

Now, as a hybrid custodian and financial services company, our powerful, integrated custodial and banking solutions give RIAs the ability to offer a wider range of services to their clients.

Who We Serve

Axos Clearing is unique in that we welcome opportunities to work with RIA firms of all sizes. We have both the means to support larger advisory firms and the vision to assist smaller, independent RIAs.

We are committed to knowing and having personal relationships with our clients large and small, and to providing outstanding support to firms of every size.

Axos Clearing supports:

- Small and mid-sized RIAs with accelerated growth goals
- Small and mid-sized RIAs wanting to maintain their current business size and excellent service
- Large RIAs seeking a partner that doesn't pose a competitive threat to advisors
- RIAs seeking to expand beyond wealth management to offering clients banking solutions to provide a holistic financial solution
- RIAs seeking lending to enable growth through acquisition
- RIAs looking to devise and implement succession plans
- Advisors who want to make the move to independence and start their own RIA firm, where they can enjoy autonomy and control

What We Offer

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



➤ Flexible Solutions Designed for Your Business Needs

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

- **Custody Services:** As a custodian, Axos Clearing 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.
- **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 advisors.
- **Banking Services:** Advisors that work with Axos Clearing can take advantage of RIA lending, succession and merger lending, 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 advisors 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.
- **Consulting Services:** Our in-house experts help RIA firms with everything from starting an RIA to improving efficiency. Our consultants conduct in-depth exploratory meetings to learn about your firm, identify goals and objectives, and help you implement strategies to drive forward progress.

➤ 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 RIAs, their goals and how we can best support them. As a result, our advisors know that when they reach out to us for support, they will be able to connect with someone they know, rather than a be sent to 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. We are developing a new suite of APIs to support greater integration with leading third-party technologies. As we work to ensure our advisors have access to the best available technologies, our vision includes developing tools, such as a digital advice platform, that help advisors better service clients and grow their own business.

➤ Convenient Pricing:

While many other custodians have a rigid pricing structure, we've chosen to think outside of the box and incorporate flexibility into our pricing. Our pricing gives RIAs options so they can get the service they need at a price point that is right for their business.

 Contact us

1-866-770-0218



Learn More

Selecting a custodian is an important business decision.

Now that you know a little about Axos Clearing and our solutions, we invite you to schedule a meeting to discuss how we can help you successfully serve your clients.

[Book A Meeting with Us](#)

About Axos Clearing LLC

Axos Clearing is a full-service clearing firm and custodian serving introducing broker-dealer and registered investment advisors. For more than 15 years we've been providing flexible clearing and custody solutions focused on empowering our correspondents to grow their businesses.

Our technology offerings and partnerships with top industry providers enable the firms we serve to effectively navigate changes and employ the latest advancements in the financial services space. Our experienced team provides relationship-based service, getting to know each business to provide the support needed.

www.axosclearing.com

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