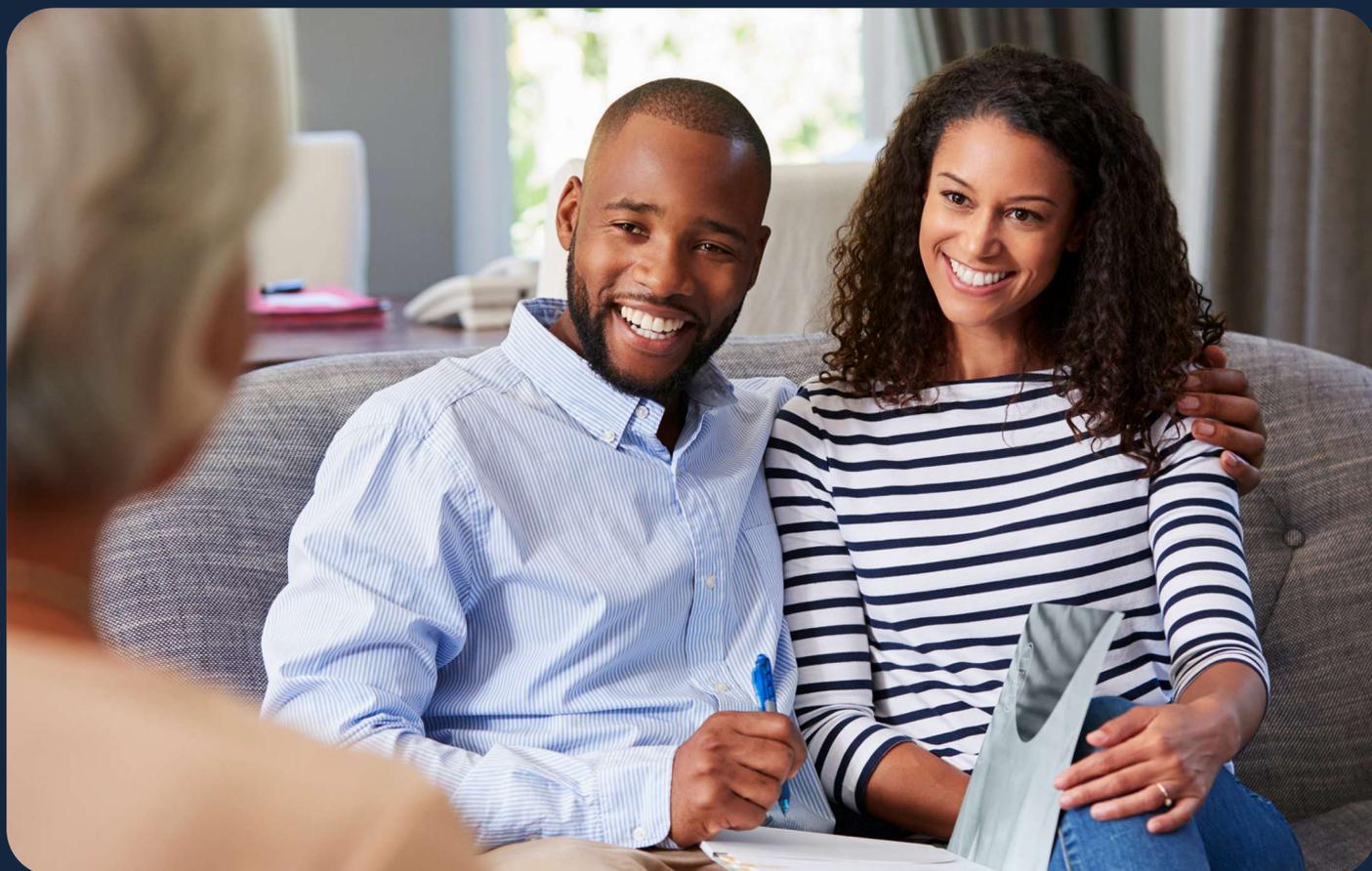




Deepening client relationships

Comprehensive retirement solutions



Deepen client relationships with retirement programs.

✔ A full range of retirement plan offerings

We provide access to a suite of defined benefit and defined contribution retirement plans. Take advantage of our intuitive technology and an open investment platform featuring a broad selection of mutual funds and ETFs with no proprietary funds.

✔ Plan prospecting and benchmarking tools

Quickly search for prospective retirement plans, generate plan diagnostic reports and proposals, and compare fees and expenses in the ADVISORLAB™.

Prospecting

The Plan Finder offers unlimited search capabilities of more than 1 million plans nationwide, using 25+ custom criteria.

Benchmarking

The Retirement Plan Diagnostic uses Form 5500 data to deliver an objective analysis of plan health in a format that's easy to understand and communicate.

Comparison

The Retirement Plan Efficiency Analysis generates a side-by-side comparison of current vs. proposed plans and presents opportunities in a concise, co-branded format.

Proposal

Written to explain the value of your services, the self-service proposal system is quick and easy.

✔ Model management and reporting tools

Our model management tools give you easy access to low-cost investment solutions for plan participants. Enjoy the flexibility to build turnkey designated investment alternatives (DIAs) and trade globally across all accounts.

Model performance

Update performance or have models calculated automatically.

Model allocations

Add investments in an existing model.

Model builder

Update descriptions and risk profiles.

Model realignment

Easily rebalance or realign existing models.

Third-party reporting

Wealth Management:

- Black Diamond
- ByAllAccounts
- Investnet
- National Securities Clearing Corporation (NSCC) file formats
- Orion
- Wove Advisory

Compliance:

- Investnet Retirement Services (ERS)
- F360
- Fiduciary Decisions
- Plan Tools
- Retirement Plan Advisory Group (RPAG)

Comprehensive fiduciary support services

We provide support services to assist your retirement plan clients in meeting their fiduciary responsibilities, including the preparation and delivery of all IRS- and DOL-required participant notices. For Required Minimum Distribution (RMD), Qualified Default Investment Alternative (QDIA), 404(a)(5), 402(g), 415, Summary Annual Report (SAR), Summary Plan Description (SPD), and corrective distributions, plan sponsors can choose whether to distribute notices themselves or have notices distributed for them. Ongoing participant eligibility tracking is available online to help meet fiduciary responsibilities.

Diversify revenue streams, attract and retain profitable clients.

✔ Interactive plan education and enrollment support

Increasing plan participation is a goal we all share. Axos Advisor Services offers robust education and enrollment services for plan participants, including interactive financial wellness and retirement readiness tools.

Dynamically generated enrollment book

Guides participants to start saving and fulfills initial and annual disclosure requirements.

Simplified enrollment and personalized education

This tool, powered by iJoin, helps participants to easily enroll and take control of their retirement savings, all in one place.

Quarterly retirement savings snapshot

Encourages participants to save more and demonstrates the impact of increased savings.

✔ Plan sponsor support and tools

Access a wide variety of tools that make it easier for plan sponsors to administer their plans.

- 180° and 360° payroll integration
- Paperless transactions
- Online year-end data submission process
- 24-hour participant call center with multilingual representatives
- Annual Plan review and benchmarking report
- 3(16) fiduciary services
- Directed trustee services

Choose from the following CEFEX and SSAE 16 Type 2 certified retirement plans:

- 401(k)
- Profit sharing
- ERISA 403(b)
- Non-ERISA 403(b)
- 457(b)
- Money purchase
- Cash balance
- Defined benefit



Learn more about what we can do for your firm

Discover all the benefits and solutions Axos Advisor Services can provide.

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Axos Clearing, LLC does not provide legal, accounting, or tax advice. Always consult your own legal, accounting, and tax advisors.

The IRS provides information of many aspects of retirement plans at <https://www.irs.gov/retirement-plans/plan-sponsor/types-of-retirement-plans>

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