

# Account protection coverage



At Axos Advisor Services, we are committed to the principle of safety and soundness. We believe protecting your account is the foundation of providing you value.

Your account assets with Axos Advisor Services are held with Axos Clearing LLC, which handles the processing of your transactions.

## Account protection coverage

Axos Clearing is a member of the Securities Investor Protection Corporation (SIPC) and provides account protection up to \$100 million for your assets held by Axos Clearing. The first \$500,000 of coverage (including up to \$250,000 for cash balances) per client is provided by SIPC as defined by SIPC Rules ([www.sipc.org](http://www.sipc.org)). Besides our SIPC protection, we also provide additional brokerage insurance through an agreement with Lloyd's of London. Axos Clearing's policy with Lloyd's of London ([www.lloyds.com](http://www.lloyds.com)) provides additional account coverage up to \$99.5 million.

With the combination of SIPC coverage and Lloyd's of London insurance, accounts held by Axos Clearing are protected up to a total of \$100 million per client, including up to \$1.15 million for cash balances with an aggregate limit of \$100 million.

Account protection coverage applies when an SIPC member firm fails financially and is unable to meet its obligations to securities clients. It does not protect against losses from the rise and fall in the market value of investments, and it does not cover all assets. Axos Clearing offers an FDIC-insured sweep account with asset protection up to \$2.5 million.

## What does a clearing firm do?

Axos Clearing handles the processing of your transactions. Securities markets are highly regulated and every aspect of the transaction is documented. This process is known as clearance and settlement for trades. As a member of multiple security exchanges, Axos Clearing has clearing and settlement capabilities for all domestic and foreign securities. Axos Clearing provides order execution, clearing, and custody services for a wide range of investment vehicles including equities, mutual funds, ETFs and fixed-income securities.

At Axos Advisor Services, we work hard to earn the trust you've placed in us and are committed to the ongoing safety of your account.

For more information on your account protection, please contact your financial advisor today.

### Investment Products: Not FDIC Insured - No Bank Guarantee - May Lose Value.

Axos Advisor Services is a trade name of Axos Clearing LLC. Axos Clearing LLC provides back-office services for registered investment advisers. Neither Axos Advisor Services nor Axos Clearing LLC provides investment advice or make investment recommendations in any capacity.

Securities products are offered by Axos Clearing LLC, Member FINRA & SIPC.

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

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