

The logo for Saxon Financial Group, featuring the word "Saxon" in a white, elegant serif font on a red rectangular background.

Financial Group

**THE
RIGHT FIT
ADVISOR**

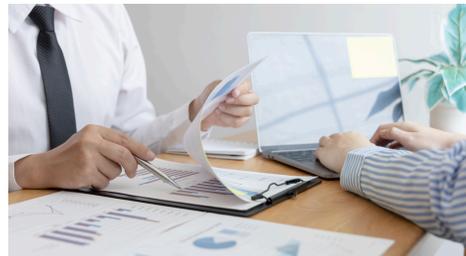
Partner with us!

SaxonFinancialGroup.com

OUR MISSION

The mission of Saxon Financial Group is first and foremost to protect and serve our client's best interests.

Our purpose is to organize assets, optimize accounts to meet goals, and educate families on how to be the best steward of their assets.



OUR CORE VALUES

UNWAVERING SERVICE

Our clients and affiliate advisors know that we have their back and they can count on us to be there when they need us. Our commitment to you means you have a partner in finding ways to continually exceed your client expectations.

ADVISOR FIRST

We are in this business because we share a mutual passion for the serving our clients. Our goal is to provide a platform that is advisor-driven so that we can best support you in building a business that you feel proud of.

COMMITTED TO HELPING OTHERS

Just as each member of our team is committed to serving our clients and putting their needs first, we are equally as dedicated to helping each other as team members. Our office is a place of support, growth and innovation.



PURSUIT OF CONTINUOUS IMPROVEMENT

We are committed to providing an environment and culture for our advisors and affiliates to thrive so that we can all achieve our highest level of accomplishments while serving our client's needs first and foremost.

GOING INDEPENDENT

Does Not Mean
Going At It Alone



Becoming an independent RIA can be a cumbersome endeavor when designing and building a platform with operational excellence, investment expertise, financial planning, and best-in-class client service to serve your unique client base, all while growing your business. We can help you tap into the benefits of an independent RIA without the burden of doing it alone.





THE BENEFITS OF JOINING AN **RIA**

ADVANTAGES INCLUDE:

- Pricing & Negotiation Power
- Business Model Flexibility
- Multiple Custodians
- Overhead Expense Relief
- Broad Investment Platform
- Integrated Technology
- Access to Experts
- Increased Ability to Focus on Your Clients

While its appealing to be an independent financial advisor, you also take on all the risks and costs. For most independent advisors, the net profit after all expenses including office, staff support, legal, compliance and operations is between 20-25%.

SFG offers you the freedom of independent and the capability to operate in a fiduciary capacity while taking advantage of cost efficiencies and resources typically only available through a larger operation. When you partner with the SFG team, you gain access to a great group of professionals to leverage in growing your business. The talent you have access to includes experienced wealth planners, portfolio managers, marketing specialists, and knowledgeable support staff.





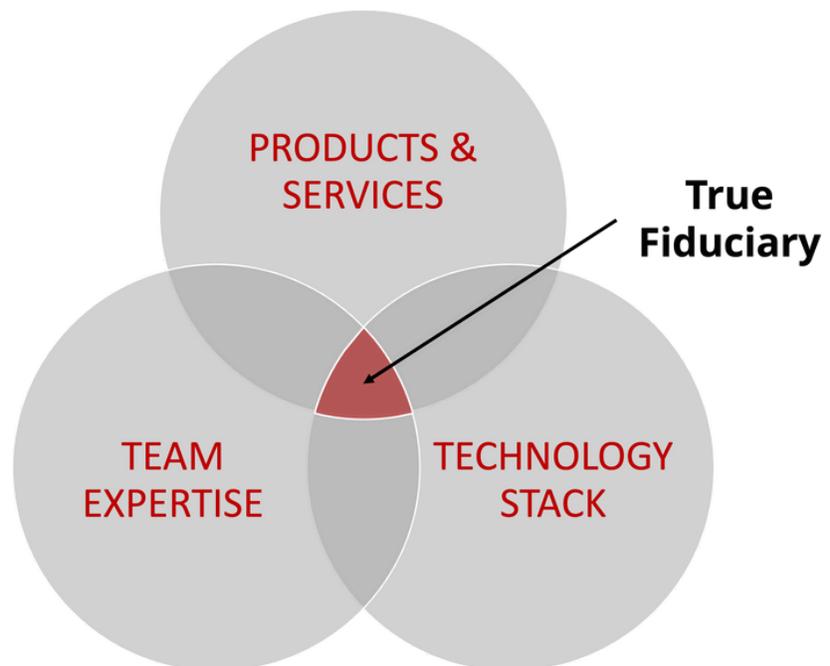
UNLOCKING YOUR VALUE



SFG DIFFERENCE

By assisting you and your team with the complexities of your business, you can spend more time with current and prospective clients. Partnering with us allows you to expand the services you provide while improving the client experience.

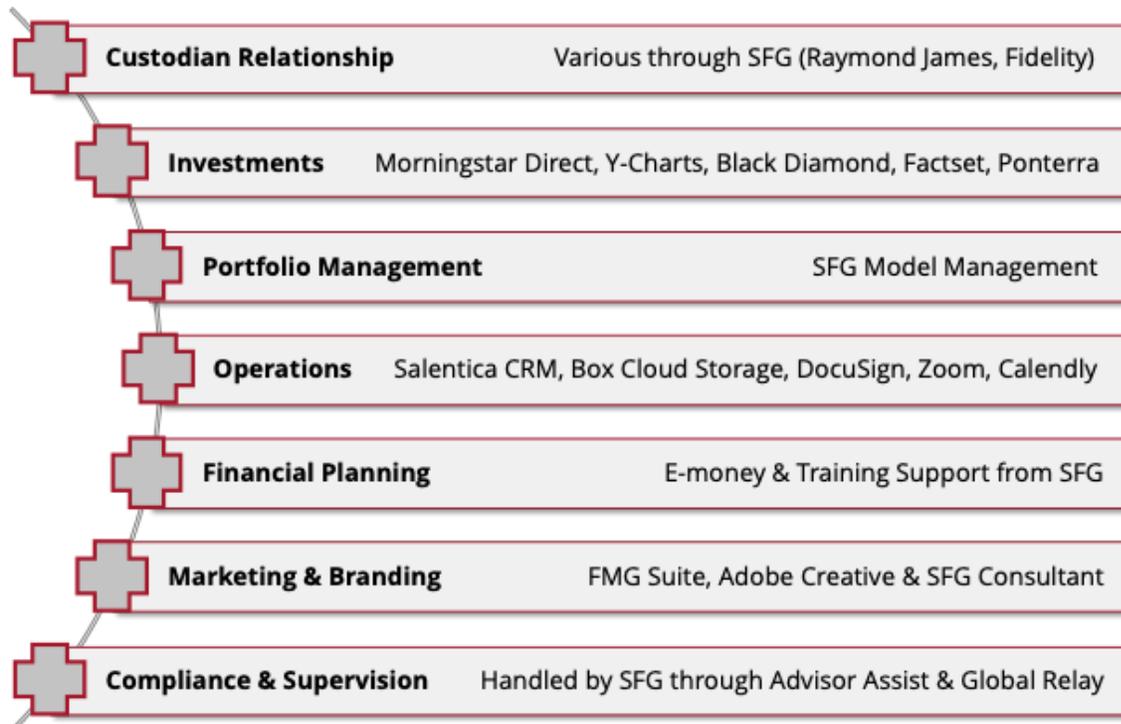
We have the infrastructure you need to be a **true fiduciary** and add value to your client relationships.





SFG PLATFORM

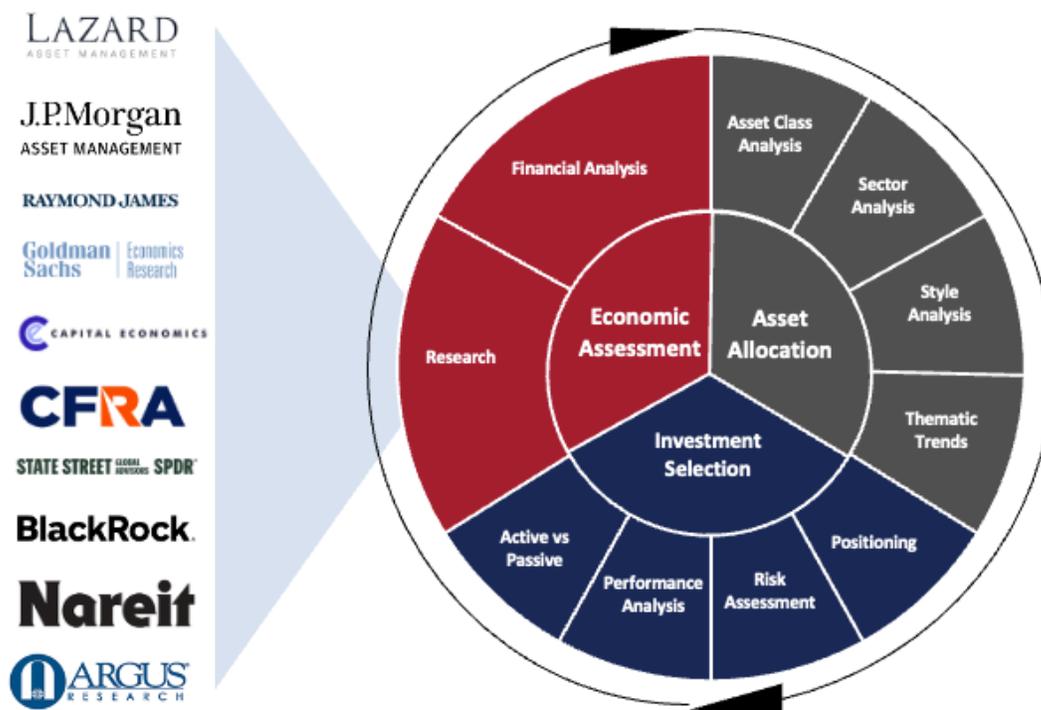
Independent RIA's must address these aspects of running their firm alone. **As an SFG affiliate, we take care of these for you.**



SFG Model MANAGEMENT

With our client as the centerpiece, Saxon Financial Group utilizes expertise and due diligence from a team of investment specialists and Chartered Financial Analysts (CFA®), which includes our strategic partner Spring Tide, to execute the investment process.

We make every decision with discipline, transparency, and control.



Key Elements of our Management Process

- Weekly review of investment research.
- Monthly tactical portfolio management reviews.
- Timely, tax-aware trading implementation,;
 - Tax-Loss Harvesting strategies
 - Asset location strategies
 - Fund tax-cost analysis and efficiencies

YOUR BUSINESS PROTECTED

The protection and regulatory compliance behind your independent business is of the utmost importance.

In addition to overseeing the compliance and supervisory aspects of your business on your behalf, we also support the following areas with our partnered resources and experts:



Billing & Reporting

Cyber Security

Regulatory Filings

SEC Registration

Written Policies, Procedures, & Contracts





ARE YOU...

- In your prime?
- Coachable and eager to learn?
- Willing to put in the time and hard work?
- Looking to expand your services and resources to your clients?
- Looking to build value in your business?

*You have proven that you are a successful advisor no matter where you are affiliated. Our team and platform can help you **expand your services, team, and client base to become the best of the best.***

HOW OUR OFFERING BEST SUPPORTS YOU

Whether it be organic growth initiatives such as a tapping into centers of influence or developing a marketing campaign to reach your ideal client, our team has the expertise you need to focus on the differentiating and unique aspects of your business to help you meet your growth goals. Together, we can help you expand your footprint and increase the value of your business.

SUPPORTING YOUR GROWTH

As an SFG affiliate, you will have daily access to a senior leadership team with more than 40 years of combined industry and entrepreneurial experience and support to help manage the non-client-facing activities required.



ARE YOU...

- In your Golden Age?
- Wanting more freedom and flexibility to run your business?
- Looking to monetize part or all of your practice while maintaining control and income?
- Considering options for a succession plan but want more time?

*You have been the owner of a successful practice for many years. Let us help you **maximize the entrepreneurial benefits of owning your business** prior to selling your practice.*

HOW OUR OFFERING BEST SUPPORTS YOU

While you would like to stay connected and expand your relationships to your client base, you do not want the hassle of running and maintaining the aspects required to run an independent RIA. Partnering your practice with another RIA with a similar advisory approach and cultural fit will allow you to have freedom in your approach while having the support of a like-minded wealth management team.

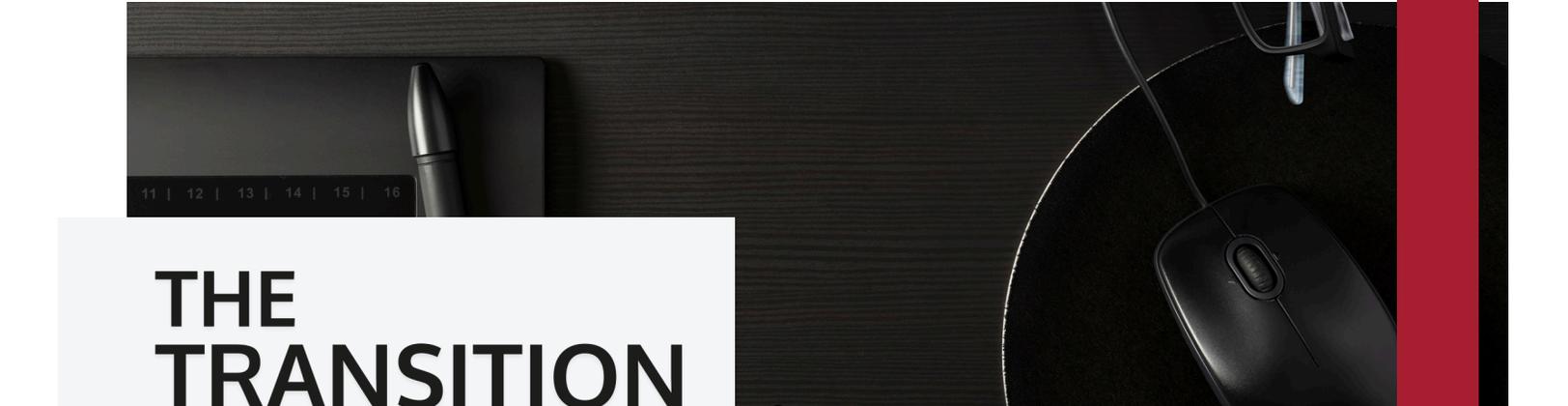
SUPPORTING YOUR EXIT PLAN

SFG will provide guidance in establishing your succession plan or, if you need a partner, develop a long-term and catastrophic succession plan so you can ensure your clients and family are taken care of.

MAKING THE MOVE



JOINING SFG



THE TRANSITION PROCESS

FIRM INTEGRATION

- Product Mapping
- Registration Paperwork
- Custodian Approvals
- Resignation Process
- Compliance Setup
- Systems access to client management, planning, and investment tools
- Establish Join Date

ONBOARDING PREPARATION

- Marketing materials, incl. print and digital
- Client onboarding plan
- Transition prep calls with dedicated transition team
- Technology consultation

POST TRANSITION

- Firm Integrations Consulting
- Additional training where needed
- Marketing consultation
- Ongoing team support

Our dedicated support team will design a roadmap for your business to seamlessly transition.

OFFER LETTER

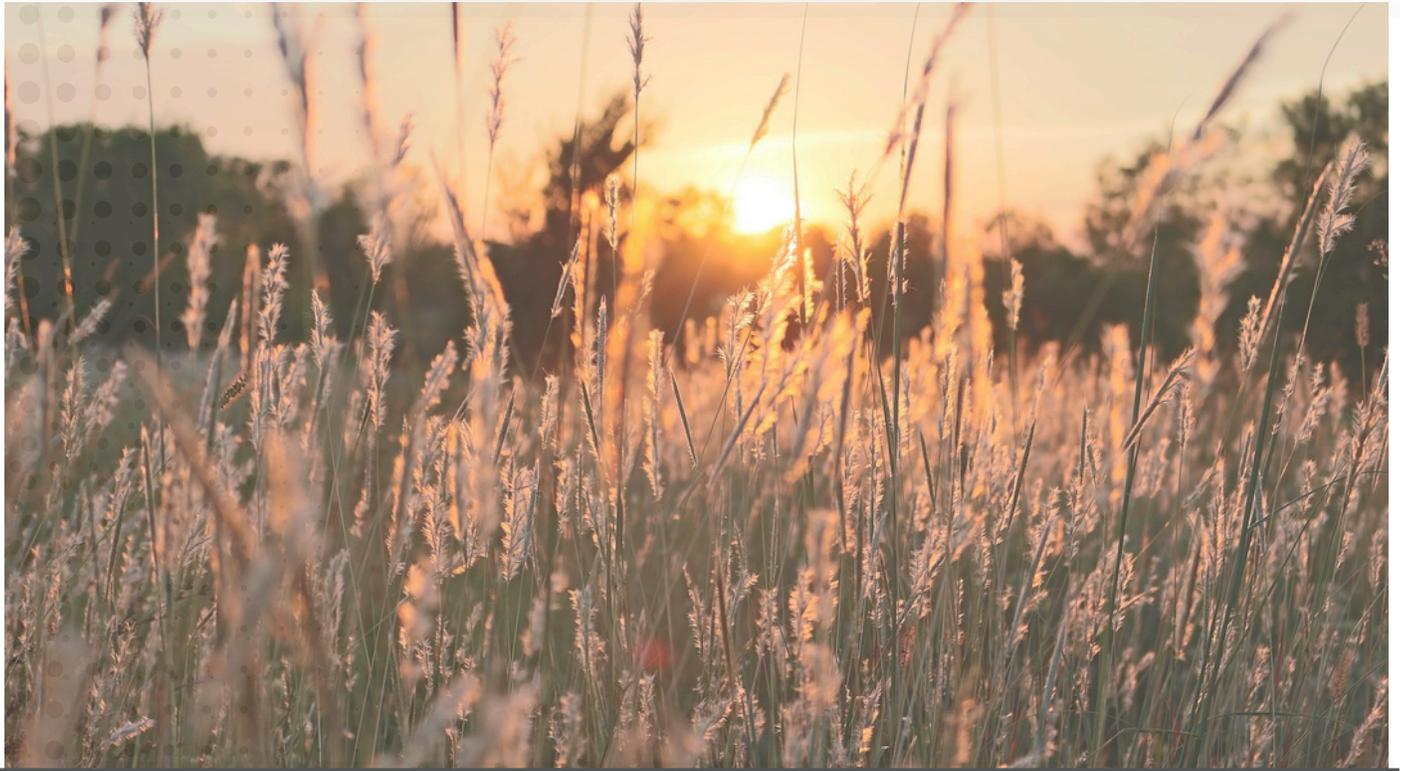
We will provide you an offer letter that will outline the proposed affiliation terms, pricing, and options available on the SFG platform upon your affiliation.

BUSINESS SETUP

- Office Lease, Equipment, & Supplies
- Telecom & Internet
- Cyber Security
- Accounting
- Benefits & Payroll
- Email addresses, cloud storage, and VPN

TRANSITION

- Resignation & New Affiliation Begins
- Entity creation
- Account opening with SFG support team
- Updated transition project plans
- Assets transfer to SFG



MEET THE TEAM

AT OUR
FIRM,

our affiliated
advisors are also
our clients.

FINANCIAL PROFESSIONALS



RICHARD SAXON
President



KATHY SAXON
Director of Accounting



JACLYN GILBERT
*Chief Compliance &
Operations Officer*



TIM LUCIO
*Wealth Advisor
& Director of
Business
Development*



AMANDA MOORE
*Director of Client
Operations & Marketing*



OSCAR CASTRO
*Director of Financial
Planning*



*Strategic Investment
Partner*

COLLECTIVE
EXPERIENCE

100+
YEARS

ADVISOR AFFILIATES



BRETT WILLIAMS, CFP®
Wealth Advisor



DARRELL BROOKS
Wealth Advisor



CRAIG IVY, CFP®
Wealth Advisor



**ASHLEY TRLICA,
CFP®, AEP®**
Wealth Advisor



**PAUL LOVE
CHFC®, CLU®**
*Wealth Advisor
Love Financial Group*



**ELIZABETH MORRISON
CDFA®**
*Wealth Advisor
Love Financial Group*



ERIN ERDIL
*Wealth Advisor
Erdil Financial Group*

**ASSETS
UNDER
MANAGEMENT**

**500+
MILLION**

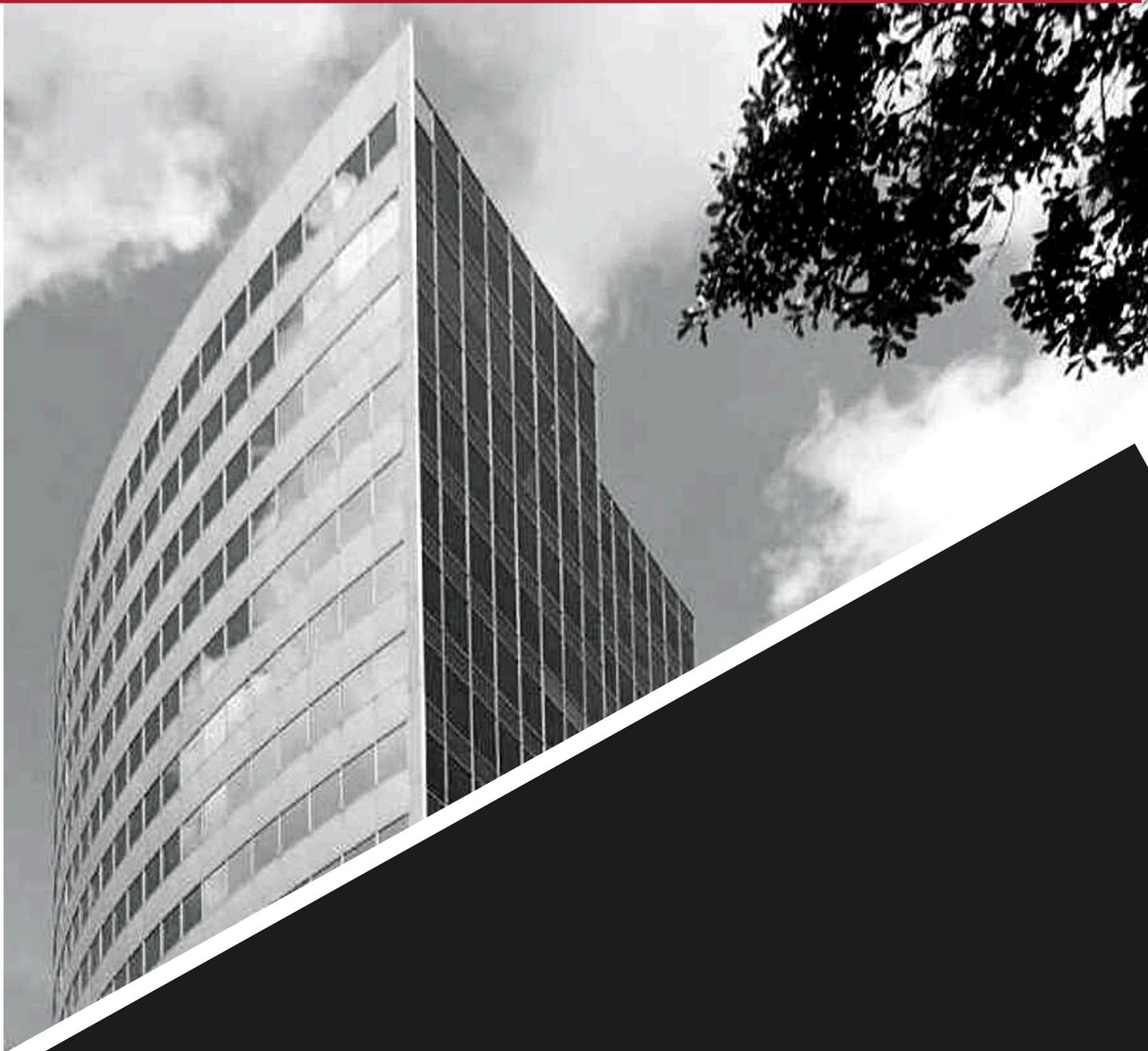
OFFICES LOCATED IN UPTOWN **HOUSTON**

Our offices are conveniently located in the Greater Houston metropolitan area. Alive with energy and rich in diversity, Houston is a dynamic mix of imagination and first-class attractions that makes it a world-class city with access to exceptional talent.



featuring
STUNNING
VIEWS
FROM THE
18TH FLOOR





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Houston, TX 77027

 SaxonFinancialGroup.com

 Info@SaxonFinancialGroup.com





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