

FINDING A FIRM THAT'S RIGHT FOR YOU

You're an advisor who stands out. It's time to join a firm that stands with you, not in your way.

We know the decision to move your practice is not one to be taken lightly. In fact, it may be one of the most important decisions you'll ever make because a lot is riding on it. We completely understand, which is why we'd like to help by answering some common questions we hear from financial professionals who want to make the right move.

As you research your options, compare other firms' answers to ours. If you have other questions, we'd be happy to answer them, too, directly and honestly. Just ask.

TO FIND OUT IF RAYMOND JAMES IS THE RIGHT FIRM FOR YOU, PLEASE CALL 866.903.6333.

COMPENSATION

1. Are my clients mine or do they belong to Raymond James? What happens to my book of business if I ever decided to leave?

We don't believe advisors should have to fight their firm for their book of business. At Raymond James, your book of business is just that – yours. We doubt you'll want to leave, but if you do or if it's time to retire, you can take your book of business with you or sell it.*

*Certain criteria apply

2. Will I be pressed to sell proprietary products through quotas or incentives?

That's just not the Raymond James way. We attract advisors whose way of doing business aligns with our client-first philosophy. You will never be influenced to do anything that's not in your clients' best interests. In short, there are no sales quotas, account size restrictions, product pushes or ticket charges designed to influence your decisions. Here, you can offer the products that you believe are best for each client; the

decision is yours. And remember, we won't take your high-net-worth clients away – on the contrary, our service model helps you attract and support a more affluent clientele.

3. How will the firm help me develop a succession plan or acquisition strategy?

Not only will Raymond James recognize your ownership of your book, but we'll help you sell it when you retire. We offer a proprietary program that walks you through the steps of establishing a formal business succession plan. For advisors who want to expand through acquisition, our practice planning team offers solid support, identifying businesses that are for sale. And later, when it comes time to sell, we'll provide access to a network of potential buyers and even help with the sale itself. We know your book is your future, and you'll need to know its true worth when it comes time to sell. Our business valuation program can help you figure it all out.

RESOURCES

1. How many advisors are affiliated with the firm? What about support personnel? What is the ratio of support personnel to advisors?

Raymond James has more than 5,000 advisors, supported by more than 4,000 support professionals in our corporate locations. So, there is one knowledgeable – and accessible – support associate for every 1.3 advisors. We built the firm to strengthen your ability to meet investors' ever-evolving needs, and these associates work hard, every day, to ensure you have the resources you need at your fingertips.

2. How will the firm support my transition? How long does it usually take?

At Raymond James, we take a very personalized approach to transition management. And we know a smooth, successful transition begins with support, which is why we assign a dedicated transition con-

sultant and a technology consultant who personally devote their attention and expertise to each step of your transition process, from technical support to marketing and all areas in between. Our goal is to get you back to doing what you do best – serving clients – as quickly as possible, often in just a few weeks.

3. Will I have access to the same services and products as at my previous firm?

Whatever you need, chances are Raymond James offers it. We want you to have the best possible tools and resources to serve your clients, and your business, well. We offer a complete array of high-quality investment and financial planning products, as well as full clearing and custodial services, a variety of client account options, a complete range of banking and trust services, and direct access to more than 4,000 on-call professionals, including our award-winning research team and 700+ IT support staff. But it doesn't stop there. You can also look to us for alternative investments, wealth solutions, financial planning, investment banking, fee-based programs, mutual funds, insurance and annuities, fixed income, research, banking and trust services, cash management services, financial and retirement planning, marketing support and professional development, as well as an industry-leading network for women advisors.

4. Technology is crucial to my ability to serve my clients efficiently. How important is it to the firm?

We know investing in technology means investing in solutions to help our advisors streamline their processes and empower them to better serve clients. That's why we invest more than \$100 million a year developing technology solutions specifically for financial advisors, all in an effort to give you more time to focus on what's important – your clients. And we have more than 700 information technology associates committed to supporting those solutions. There's no need to settle for anything less. At Raymond James, you'll have access to a powerful financial planning suite, online investor access, a superior

advisor resource console, document management systems and customer relationship management that takes your practice to the next level.

OPPORTUNITIES

1. How many business models does the firm offer to advisors? Will I be able to transition my practice from one model to another as my goals change?

With a complete range of affiliation and payout options, AdvisorChoiceSM from Raymond James gives you what you want: the flexibility to build your practice your way. You'll have the full freedom to operate your business as a traditional employee, independent employee, an independent contractor, an independent RIA, or as an advisor in a bank or credit union. And you'll have the freedom to change platforms as your practice changes.

2. How will the firm support my efforts to brand myself and market my practice independently? How will the firm help me grow my practice?

Advisors here truly have freedom – it's a key part of our advisor-oriented culture – even when it comes to marketing. You are in control, and we'll support you every step of the way with an award-winning, in-house advertising agency that can set your business apart in a crowded marketplace. Gain time and confidence with a compliance team that's dedicated to marketing initiatives. Brand your practice and watch revenues grow. Get the best value on websites, newsletters, print ads and more, all designed to make your practice stand out. We'll even customize materials to fit your unique needs in your unique market.

CULTURE

1. How did the firm get started?

Raymond James was founded by Robert James in 1962 as a different kind of financial services firm. While other organizations were simply selling stocks or mutual funds, Raymond James focused on holistic financial planning for the individual.

2. How does the firm measure advisor satisfaction? What about client satisfaction?

When a firm cares about advisor and client satisfaction, it shows. Raymond James uses a number of third-party resources to test advisor and client satisfaction – and we consistently score well. In fact, we have one of the highest advisor-retention rates in the industry. *Smart-Money* recently named Raymond James the best full-service broker in its 2011 Annual Broker Survey, for the third time in four years. The results were based on many factors, including client satisfaction, user-friendliness of account statements and more. We even help you conduct your own client-satisfaction surveys – it's a great way to improve your relationship with your clients and serves as a springboard for referrals.

3. How recognizable is the firm? How does the firm promote itself to investors?

As one of the largest full-service financial services firms in the United States, Raymond James has 2,400 locations worldwide with offices in all 50 states, Canada and overseas. Our national advertising campaigns appear on major television and print media outlets, and the firm has a long-standing presence on National Public Radio. Investors also recognize Raymond James Stadium (home of the Tampa Bay Buccaneers football team) and the firm's sponsorship of the French Open tennis tournament. Raymond James has long supported advisors within their communities, too, strengthening consumer awareness through community involvement and sponsorships.

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