CHOOSING YOUR PARTNER IN INDEPENDENCE

As an advisor and business owner, you stand apart, but it doesn’t mean standing alone – especially with Raymond James as your business partner.
Now you can realize independent business ownership with our full support.

It takes a certain kind of advisor to pursue independence – one who sees opportunity in every challenge and one whose expertise is matched by dedication to recommending what’s in your client’s best interest. If this describes you, then you’re exactly the kind of advisor we’re proud to affiliate and support.

WHAT IT MEANS TO GET MORE

COMPREHENSIVE PRODUCTS

INTELLECTUAL CAPITAL

POWERFUL RESOURCES
“OUR COMMITMENT IS TO DO ALL WE CAN TO HELP YOU BUILD, MANAGE AND LEAD A SUCCESSFUL PRACTICE.”

You work in a dynamic industry where time is tight, markets are unpredictable and clients’ needs are always evolving. There is, however, one constant – Raymond James’ commitment to supporting your independence and success as a financial advisor. You have our commitment to do all we can to help you build, manage and lead a successful practice.

- You will find a friendly, helpful voice focused on your success.
- We will provide technology tools to keep you organized and connected.
- You will have access to expert product specialists and resources.
- We will place practice management resources at your fingertips.
- You will run your business your way.

Our business is comprised of advisors like you who care about their clients, cherish their independence, are eager to grow their businesses, and comfortably comply with the industry’s rules. Like you, these advisors are passionate about what they do – and the impact they make on their clients’ lives. I am pleased to say that since the firm started keeping track in 1990, Raymond James, on a year-to-year basis, has retained 99% of the independent advisors who demonstrate these characteristics – characteristics that are the foundation of our success.

If you’re ready to begin or continue a more fulfilling future as an independent business owner, I encourage you to learn more about the advantages of affiliating with Raymond James.

Scott Curtis
President
Raymond James Financial Services
Your business. Our support. The perfect balance for success.

We’re here to complement your expertise and support your practice by providing easy access to the robust resources and turnkey solutions of a full-service firm.

YOUR BUSINESS MEANS:

• Manage your practice your way
• Complete ownership of client relationships
• Identify the location of your office
• Select and hire your own staff
• Build your unique brand

OUR SUPPORT MEANS:

• On-site transition support
• High-net-worth solutions to assist with your top clients
• Integrated technology platform developed for advisors
• Sophisticated lending and trust services
• Marketing services to uniquely brand your practice
• Practice management and coaching
• A broad range of products to meet your clients’ needs

Our PURPOSE
To help clients achieve their financial goals; to provide an environment for financial advisors and our employees to fulfill their highest potential; and to reward Raymond James shareholders for their confidence in us.

Our MISSION
To provide superior financial products and services for independent financial advisors and financial institutions for the ultimate benefit of their clients.

Our GOAL
To fulfill our purpose and accomplish our mission profitably, with a commitment to excellence, integrity and quality growth – in short, to be the premier financial services firm.

ENJOY A PARTNERSHIP WITH ONE OF THE STRONGEST INDEPENDENT GLOBAL FINANCIAL SERVICES FIRMS IN THE INDUSTRY – BUT ONE THAT WILL NEVER INTERFERE WITH YOU RUNNING YOUR PRACTICE THE WAY YOU WANT.
YOUR INDEPENDENCE SHOULD ALSO COME WITH STRAIGHTFORWARD, FAVORABLE COMPENSATION.

You will find competitive payouts that are easy to understand rather than the changing payouts and difficult-to-understand payout grids you may have experienced before. And you won’t be required to recommend certain products or services in order to maximize your payout.

Making your compensation stable and favorable has contributed to industry-leading levels of institution and advisor loyalty.

As an independent advisor with Raymond James, you’ll receive a payout from 80% to 100% (with fees and ticket charges if applicable). Payout varies according to your mix of business and production.

Whether you manage your business as a fee-based advisor or primarily as commission-based, we’re here to help you experience new levels of support and achieve greater levels of success.

EXCEPTIONAL SUCCESS DESERVES RECOGNITION.

Your success should be celebrated, not overlooked. So instead of forgoing incentives for top performers – such as recognition trips for you and your guest – we offer significant recognition and rewards programs. The highest levels of success will achieve membership in the Raymond James Financial Services Chairman’s Council, Leaders Council or Executive Council.

CHAIRMAN’S COUNCIL

Includes the top tier of financial advisors who generate the highest annual totals of fee and commission revenues, as well as branch managers of the largest revenue-producing branches.

Benefits and rewards include:

- A memorable and exclusive trip to an international destination for you and your guest
- Lodging credit and airfare to the RJFS national conference, a special dinner and a separate business meeting with the firm’s president
- Lodging credit and airfare to any one of the regional educational conferences
Quarterly conference calls with the RJFS president to receive updates on pending new services and products and to discuss issues of importance to council members

Participation in the annual Chairman’s Council retreat, funded by Raymond James but with an agenda managed by advisors

Exclusive access to the concierge services and resources

**LEADERS COUNCIL**

Includes financial advisors and branch owners surpassing prescribed levels of fee and commission revenues or total branch revenue each fiscal year.

**Rewards include:**

- A trip for you and your guest to an exclusive resort destination
- Lodging credit and airfare to the RJFS national conference plus a special recognition dinner at the conference
- Lodging credit and airfare to any one of the regional educational conferences
- Quarterly conference calls with the RJFS president to receive updates on pending new services and products and to discuss issues of importance to council members

**EXECUTIVE COUNCIL**

The third and largest recognition level tier, made up of financial advisors and branch managers with personal and branch revenue exceeding annual predetermined thresholds.

**Rewards include:**

- Lodging credit and airfare to the RJFS national conference
- Lodging credit for any one of the regional educational conferences
- American Express Gift Cheque for a “Dinner on Us” with your guest

**WEALTH ACCUMULATION PROGRAM (WAP)**

A deferred bonus program designed to provide 401(k)-like diversification and growth as a reward to top advisors. At the highest levels, qualifying advisors may earn a 100% effective payout.

Council qualifications and benefits are subject to change annually.
A REGIONAL MANAGEMENT TEAM TO SUPPORT YOU AND YOUR PRACTICE IN MANY WAYS.

If you’ve imagined having a team of professionals dedicated to your success, at Raymond James what you’ve imagined becomes reality. You’ll have a regional management team dedicated to supporting the growth and success of your business. They can help you become a more effective business owner and help increase the profitability of your business practices.

YOUR FACILITATORS AND ADVOCATES.
You’ll receive regular communications to keep you fully informed when things like regulatory changes are coming. But when you need answers now, your regional management team is just a phone call or email away. You’ll find a dedicated team ready as your resource when you and your staff need guidance or assistance with a challenge.

Your team will make sure your voice is heard and perspective is understood. Your thoughts about improvements or enhancements at the firm are valued – whether they’re regarding client service, operations or policymaking. Your team will make sure your ideas are effectively communicated to those who would benefit from receiving the information.

YOUR COACH AND CONSULTANT.
They also provide coaching and consulting services that incorporate best practices used throughout the Raymond James Financial Services network. Your team includes certified Registered Corporate Coaches who can assist you with planning and diagnostic tools as well as time-tested branch models. We understand coaching is not for everybody. But, if you’re interested in customizing a program specific to your practice needs, your regional team is ready to assist.

HELPING YOU NAVIGATE THE MAZE OF LEGAL AND REGULATORY ISSUES.
In addition to risk management support from your regional management team, our Sales Practice Supervision team works closely with compliance, legal and with regulatory agencies on supervisory issues that affect you. They are here to help you adhere to industry regulations and to clarify sales practice policies and procedures to keep you and your business moving forward.
Your clients have unique, evolving needs. So we’ve built a structure that supports your ability to meet all of them with precision and flexibility. From an integrated technology platform to professional development tools, our services and resources were designed with one focus – you and your practice.

**SUPPORT**

**Independent Business Consultant**
Owning your own business is one of the most exciting – and complex – aspects of independence. But you don’t have to go it alone. With your own independent business consultant, you’ll be able to leverage the collective success your peers have enjoyed in creating their own practices. Drawing from each past experience, your consultant offers you a full range of services, from helping you select the right business model to securing office space, acquiring technology, payroll services and health insurance.

**Transition Team**
Your transition will require hands-on support, and Raymond James will deliver. As soon as you make the decision to affiliate, you’ll be paired with a trained, responsive transition team to support your every step – including onsite. You’ll work closely with several expert transition and technology consultants as well as specialists in registrations, operations, marketing, compliance and advisory services. A single point of contact, your transition team is your liaison, connecting you with the appropriate contacts across the firm. You’ll understand firsthand why Raymond James financial advisors are consistently among the most satisfied in the business.

**Marketing**
Two things you’ll find at Raymond James you won’t find at other firms – the freedom to create a unique brand for your practice and a team to help you build it. Our in-house team will take time to understand your business. And you’ll have your own account manager to help you every step of the way, including building your own marketing plan.

... Everything you need + everything you want. And
then some.

TECHNOLOGY
You need support to keep up with rapidly changing technology and client expectations. You also want solutions that fit the way you do business so you don’t have to change your business. We can help there, too. Making business easier – not harder – is foremost for our technology teams.

**Advisor Access**
Advisor Access provides a central point of access for the applications to manage your client relationships and build your practice. Gone are the days of logging on multiple times to use the many applications essential to running your business. Log on and get to work – to all your work.

**Goal Planning & Monitoring software**
If your business revolves around planning, this easy-to-use software helps you get the job done right. Powered by MoneyGuide Pro® and fully integrated into Advisor Access, this innovative software enables you to create interactive client goal plans, output highly visual deliverables, build actionable recommendations, and monitor plans in real time to help keep clients on track more easily than ever.

**Mobile access**
When you’re not in your office, you can still access your business anytime, anywhere from your mobile device. Work email, Advisor Access, Client Center, Goal Planning & Monitoring and other applications are accessible on your smartphone and tablet. Your clients will also enjoy mobile access through a mobile version of your website and the Investor Access app for viewing their accounts.

**Social media**
Incorporate social media into your practice with full, compliant access to social media tools including LinkedIn, Facebook and Twitter, including tools to measure engagement. You can create your own posts or pull from a library of up-to-date, compliance-approved content.
PRACTICE PLANNING & ACQUISITIONS

You own your practice and your client relationships. How you build, manage and transition your practice is entirely up to you. But there are many ways the Practice Planning & Acquisitions team can help you each step of the way.

SUCCESSION PLANNING
Whether you choose to transition your business to a family member, trusted partner or outside party, succession planning is vital when considering retirement and when planning how to keep your practice intact in the event of your incapacitation or death. We’ll help you through the process of deciding whether to sell internally or to an outside party, or determine if you should merge with another firm. We’ll provide information on finding buyers and structuring your agreement. We’ll help you address critical issues and implement a solid plan so you can protect your employees, your clients and your beneficiaries.

PRACTICE BENCHMARKING AND VALUATION CONSULTING
Whether you are adding a new partner, merging with another practitioner, transitioning your practice to a successor or simply planning for growth, the Practice Planning & Acquisitions team can provide you with up-to-date and comprehensive valuations – not the overly simplistic, outdated, and sometimes unrealistic valuations advisors may have obtained elsewhere.

PRACTICE ACQUISITION CONSULTING
If you’re trying to determine if growth through acquisition is right for you and your business, we can help you consider the wide range of issues. You’ll have resources to help you understand how to: identify prospects, market to them, evaluate the candidates, determine a fair valuation of a practice and negotiate a purchase price that’s fair to both parties.

We also help you structure these deals, perform due diligence and create purchase agreements. Each acquisition is reviewed individually and qualified owners may receive financing for a portion of the acquisition price.
You want full control.

And why shouldn’t you? After all, it’s your business. With Raymond James, you have that control – and the resources to help take your business anywhere you want.

To visit the Raymond James headquarters, meet our friendly associates and sample firsthand our unique, advisor-focused corporate culture, talk with your recruiter to arrange your trip.