



ELEVATING YOUR CAREER

Some might call switching from one firm to another a lateral move. But they've never seen how much more you can do as an advisor with Raymond James.

RAYMOND JAMES®

THIS IS MORE THAN YOU EVER EXPECTED.

THIS COULD BE YOUR FUTURE.

It'll take a little getting used to, but we're certain an advisor like you will easily adapt to the exceptional resources, support and flexibility we have to offer. You've probably always been quick to acclimate – picking up concepts and procedures with ease, fitting seamlessly into new groups and surroundings, and taking the lead on fresh ideas and initiatives. But you've probably also found yourself at a standstill, wanting more from your firm – more freedom, more control, more opportunity.

More is exactly what you'll find at Raymond James.

As a Raymond James advisor, you'll be empowered to do what's best for your clients, not just your firm, and to take ownership of your business, literally – all while enjoying the resources and relationships you'll only find partnering with a highly regarded global firm. The way we see it, you're a team player who likes to call the shots, and we're a team that appreciates born leaders.



“ As I talk with the many advisors who are considering moving their practices to Raymond James, I hear similar concerns. They’re frustrated with their current situation, but they aren’t sure switching will alleviate their problems. They’re used to same old, same old and come to expect only what they know.

In those conversations with advisors, I can confidently say that at Raymond James, we’re different. And while other firms may make that claim, we don’t just talk the talk. We put our commitment and resources to work to *show* you the Raymond James difference.

That difference is entirely by design. Since our founding, we’ve focused on people, not products. We work hard to cultivate a culture that prizes freedom. We strive to maintain longevity in management – at both branch and corporate levels – so advisors can expect consistent support. We value the contributions of advisors and respect their relationships with *their* clients. And we provide competitive, straightforward compensation and benefits to ensure advisors get the pay and recognition they’ve earned.

We continue to attract and retain experienced financial advisors by giving them more than they ever thought to expect from their firm. We focus on independence and provide outstanding support, including a service-associate-to-financial-advisor ratio that far surpasses most of our competitors. We treat advisors as our clients by focusing on how to help them become more successful. We never forget that our success depends on the individual success of our advisors, so we give them everything they need to grow their practice – from professional development and training opportunities to owning their book of business. It’s not surprising that Raymond James has one of the highest advisor retention rates in the industry – further proof that we keep the promises we make.

Our commitment to advisors and their clients is the foundation of our business. So, if you’re looking for a firm that understands its most important asset is you – you’ve found us.

I encourage you to learn more about why joining Raymond James is the right choice for your practice. I invite you to discover a firm that will exceed your expectations.



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President, Private Client Group
Raymond James & Associates

FOCUSED ON YOU

You're experienced, you're talented and you're successful, but you're ready for more. So, we give you the power to do more and get more, whether it's more freedom to use our powerful resources on your terms, or more attention from a firm big enough to support you fully, but never so big that it loses sight of what's most important: you and your clients.

HERE'S WHAT A PARTNERSHIP WITH RAYMOND JAMES PROVIDES:

Unbridled access

What's ours is yours – every product, resource and service our full-service, self-clearing NYSE-member firm has to offer.

True ownership

Provided you meet certain requirements, your book of business is exactly that – yours.

Extensive support

You'll join a fully staffed office, with access to on-site technology consultants to get you connected and an experienced branch manager to help you grow your practice.

Complete connectivity

You'll stay plugged in on the road or in the office with our comprehensive, fully integrated web-based technology platform that allows you to connect via your PC, Mac or mobile device.

Full benefits

You'll have it all – competitive payout, retirement plans, life and health insurance, and generous employee stock ownership, profit sharing, incentive stock option plans and retention programs after your transition period.

At Raymond James, our goal isn't to be the firm for everyone – it's to be the right firm for advisors like you.



YOU WANT MORE FREEDOM. WE'RE HERE

ADVISOR

YOUR SUCCESS

RAYMOND JAMES IS ON YOUR SIDE.

At Raymond James, we never forget that you are our client. So, in addition to giving you more – a comprehensive platform, professional freedom and the full resources of a solid international firm – we give you the two most important things we can: our utmost respect and full support.

YOUR FREEDOM OF CHOICE

In addition to respecting your abilities as a professional and your relationships with your clients, Raymond James respects your right to grow. In fact, we've planned for it. Through Advisor-ChoiceSM, a flexible, innovative affiliation platform, we offer you several distinct ways to affiliate with our firm. Our employee business model is just one of five, including independent employee, independent contractor, independent RIA, and bank and credit union. So, if you ever find yourself considering another model for your practice, you have other options available right here at Raymond James.

YOUR TRANSITION TEAM

When you affiliate with Raymond James, we'll prove how different we are right away. As soon as you make the decision to join, you'll be introduced to a trained, responsive transition team to support you at every step. You'll work closely with expert transition and technology consultants as well as specialists in registrations, operations, marketing, compliance and advisory services. Our transition management team also acts as a liaison between you and the home office, making your move as seamless as possible. Right from the start, you'll know that Raymond James puts your needs first.



WE'RE HERE TO HELP YOU MAKE THE MOST OF IT.

*When you're ready to
do more, we'll provide
every opportunity.*

**YOU ARE A FINANCIAL ADVISOR.
AND THAT TITLE AFFORDS
YOU CERTAIN
UNALIENABLE RIGHTS.**



This is a truth we've always understood at Raymond James. To us, you're never simply an employee – you are a professional. You've earned an education. You've built a career and a practice. And you've proven yourself more than capable of deciding what's best for your business and your clients. It should go without saying, but we want to be perfectly clear: You have rights, and we've committed them to paper.

THE RAYMOND JAMES

FINANCIAL ADVISOR BILL OF RIGHTS

You own your client base, including the right to sell it.*

You develop and operate your practice with our assistance, not constraints.

You're free to work with any retail client, while respecting existing Raymond James advisor-client relationships.

You have access to world-class resources within a regional firm environment that puts the focus on you.

You can count on our financial strength to support your business, even when the marketplace is challenging.

You benefit from the stability of our firm, a public company traded on the New York Stock Exchange.

You are never influenced to do anything that's not in your clients' best interests – no sales quotas, account size restrictions, product pushes or ticket charges designed to influence your decisions.

You're entitled to enthusiastic support from associates throughout the Raymond James family.

You'll be fairly compensated, and can expect a consistent pay schedule with straightforward, transparent commission architecture and no hold backs on dealer allowances.

*CERTAIN QUALIFICATIONS APPLY.

As an employee advisor, you own your book of business – meaning if you elect to terminate from Raymond James, the firm will not solicit your client relationships provided you have satisfied the following conditions: You have no outstanding financial obligations to Raymond James, you have no outstanding compliance or legal issues, you are paid according to the payout grid (minimum Trailing 12 equals \$250,000).

***We are a different kind of firm –
the right kind of firm for you.***

In 1962, our founder Bob James decided to do things a little differently, pioneering financial planning for the individual investor and championing the role of the empowered financial advisor.

And today, our commitment to both of these principles is as strong as it's ever been. We think you are the only person qualified to determine the best course of action for your business. We think you know best when it comes to creating investment plans that will meet your clients' financial goals. And we know this isn't just a job move to you, it's your future – this is your future with our firm.



ROBERT A. JAMES
Founder

RAYMOND JAMES®

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