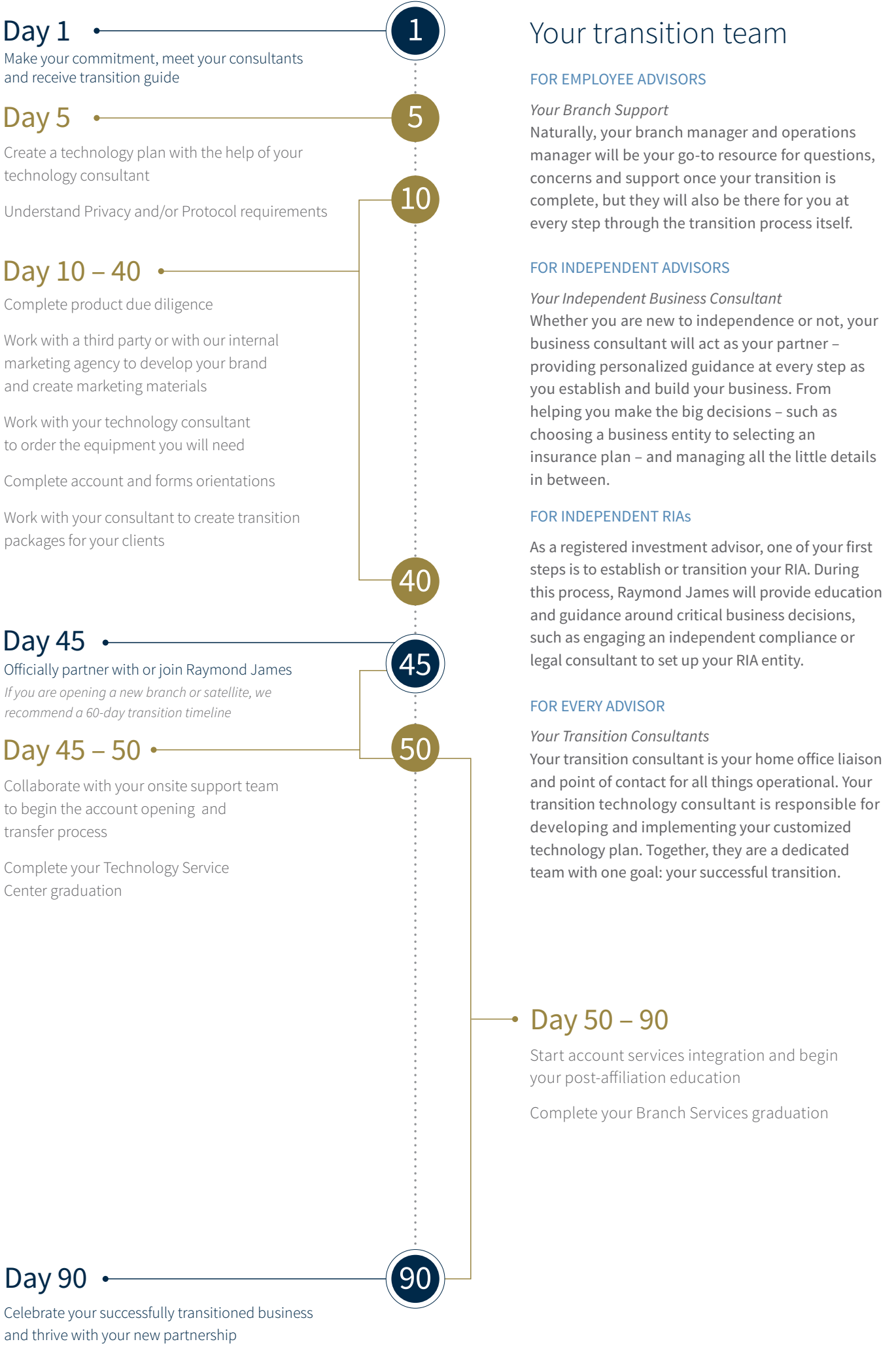


You make the big decision.
We do the rest.

After all the thought and hard work you've put into partnering with a new firm, the move itself might seem like a daunting prospect. But it doesn't have to be – especially when you have one of the largest, most experienced transition teams in the industry supporting you through it. From personalized guidance to holistic onsite support, here's what you can expect from your transition.



Your transition team

FOR EMPLOYEE ADVISORS

Your Branch Support

Naturally, your branch manager and operations manager will be your go-to resource for questions, concerns and support once your transition is complete, but they will also be there for you at every step through the transition process itself.

FOR INDEPENDENT ADVISORS

Your Independent Business Consultant

Whether you are new to independence or not, your business consultant will act as your partner – providing personalized guidance at every step as you establish and build your business. From helping you make the big decisions – such as choosing a business entity to selecting an insurance plan – and managing all the little details in between.

FOR INDEPENDENT RIAs

As a registered investment advisor, one of your first steps is to establish or transition your RIA. During this process, Raymond James will provide education and guidance around critical business decisions, such as engaging an independent compliance or legal consultant to set up your RIA entity.

FOR EVERY ADVISOR

Your Transition Consultants

Your transition consultant is your home office liaison and point of contact for all things operational. Your transition technology consultant is responsible for developing and implementing your customized technology plan. Together, they are a dedicated team with one goal: your successful transition.

We'd never tell you how to run your practice.
But sharing a little wisdom never hurt.

Here are top tips from transitioned advisors to help guide you through this next chapter.

FOCUS ON CLIENTS

- Hand-deliver client packets and speak with clients about the reasons behind your transition
- Reference home office recommendations for client communications
- Obtain statement copies from clients after your affiliation is finalized
- Provide details for moving insurance/annuity appointments

THOUGHTFULLY TIME YOUR TRANSITION

- Take note of life events that may affect transitioning team members, such as the birth of a child

- Inform your staff about Raymond James and the long-term benefits of transitioning
- Give yourself as much lead time as possible to prepare

TACKLE OPERATIONS TASKS

- Open advisory accounts in the beginning, instead of after the accounts are transferred
- Learn more about Raymond James, such as by exploring RJnet and visiting an existing office
- Get to know available products and product specialists from Asset Management Services