

NorCalINSIDER

A PUBLICATION FOR THE NORTHERN CALIFORNIA COMPLEX



Recruiting always begins with “Hello” and ends with one of three outcomes – “I’d like to join you,” “I’m not ready to make that decision yet” or “You aren’t a good fit for my practice.” Frankly, I’m OK with any of these. Over the years, I’ve developed lasting friendships with advisors that, for very good reasons, may never work with us.

A decade of recruiting equates to countless cups of coffee, meals and glasses of wine while listening to advisors tell their stories. No two practices are the same, yet all these meetings are energizing. The overwhelming majority of advisors put their clients first. They know that integrity, service and a hearty dose of empathy are the foundation of a successful investment practice. These

principles have not changed one bit over the years.

Some things have changed however. Increasingly, putting the client first is getting lost in firm-dictated financial plan requirements, mortgage bogies or incentives that seem to have everything to do with this quarter’s earnings and little to do with advancing the financial well-being of the client. Indeed, as if it were planned this way, these new requirements, which started as little threads of annoyance, are becoming heavy shackles. Advisors must play the game or face the reality that they will be in the financial penalty box for good.

The past decade has only strengthened the case for Raymond James. We have leap-frogged most firms in technology and client resources and widened the

gap as it relates to culture, practice ownership and putting the client first. We have built an integrated platform that is designed to empower our advisors, their brand and their practices. We are a firm where freedom lives, a firm that respects you and is committed to providing the foundation through which you can thrive.

I encourage you to visit our updated complex website to learn more. Better yet, in about an hour you can discover why some of our industry’s most successful professionals with options everywhere are joining Raymond James. Contact me or your local manager listed on the back page to start a confidential conversation about our great firm.

Warmest Regards,

Nathan Clakely
Senior Vice President, Investments
Northern California Complex Manager
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ABOUT OUR COVER

If the building adorning the front cover of this issue looks familiar, it may be because it has been a fixture in Walnut Creek for many years. What is different of course is the Raymond James sign now sitting proudly at its top.

We recently completed our fourth expansion and are very proud that our growth includes a permanent reminder to the community that Raymond James is here and ready to serve.

RAYMOND JAMES®

We make your transition feel more like it's a natural progression.

After all the thought and hard work you've put into making the decision to partner 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. The Raymond James Transition Management team comprises experts at making your transition successful.

The moment you make the decision to join Raymond James, you are assigned two consultants whose only job is to make your transition go smoothly, not just for you, but for your clients, too. 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. Naturally, your new branch manager and operations manager will be your go-to resource for questions, concerns and support once your transition is complete, but he or she also will be there for you through every step of the transition process itself.



DAY 1
COMMIT TO JOIN
RAYMOND JAMES

1

DAY 5 - 10

Introduce your practice to your transition consultant.
Help the RJ manager and technology consultant understand your technology needs.

5

DAY 10 - 20

Complete product due diligence.
Work with the transition consultant to prepare marketing materials for your announcement.
If applicable, complete the transition spreadsheet.

10

20

DAY 20 - 30

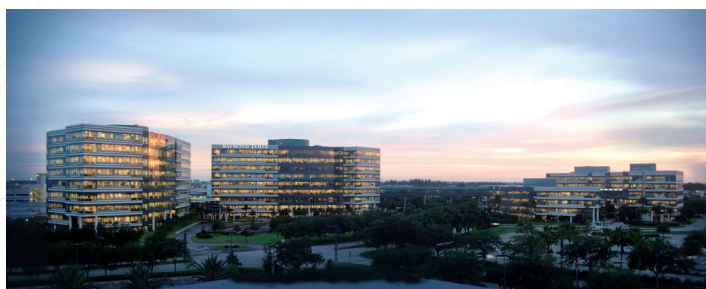
Complete a forms orientation call with your consultant.
Your transition packages arrive at the branch.

Together, they are a dedicated team with one goal: your successful transition.

The Raymond James Transition Management team knows that each advisor and practice are unique, so we help advisors make the switch by creating a **transition timeline** specific to your, and your clients', needs. While your timeline will be unique to your situation, it may look something like the timeline below.

Since 1999, Raymond James Transition Management has been helping advisors make smooth, seamless and successful transitions – perfecting its continuous, responsive support to ensure that when you join our firm you're ready to produce immediately. It's more than a transition, it's progress.

To learn more about the Northern California Complex, visit norcalrj.com. ■



DAY 30
AFFILIATE WITH
RAYMOND JAMES &
ASSOCIATES

30

DAY 30 - 35

Announce your affiliation and deliver account paperwork to your clients.

35

DAY 35 - 60

Work with our local transition team and your transition consultant to open accounts and transfer your practice.

Work with training resources to begin to leverage Raymond James technology.

60

DAY 60 - 90

Work with your clients and complete account opening and transfers.

DAY 90
CELEBRATE YOUR SUCCESSFUL
TRANSITION TO RAYMOND JAMES

90

Need to trim time?
Ask about our streamlined
60- and 30-day transition
timelines.



RAYMOND JAMES AT-A-GLANCE

Raymond James has delivered **114 consecutive quarters of profitability.*** We credit much of this performance to the firm's client-first perspective and adherence to its founding core values of professional integrity, advisor independence, and a conservative, long-term approach to investing.

BY THE NUMBERS:

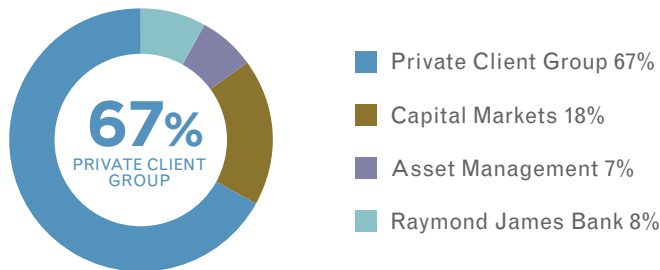
- Approximately **6,800** financial advisors
- Over **2,800** locations (United States, Canada and abroad)
- More than **2.8 million** client accounts
- Approximately **\$535 billion** in client assets



In December 2015, Raymond James & Associates ranked **first** for advisor satisfaction on WealthManagement.com's 2015 Broker Report Card.

*As of 6/30/2016

WealthManagement.com's 2015 Broker Report Card is based on an online survey going to print and web subscribers and advisors in the Meridian-IQ database at the six largest national brokerage firms. Brokers rated their current employer across almost 50 factors on a 1-to-10 scale, with 10 representing the highest level of satisfaction. 1425 responses were received and weighted in determining advisor satisfaction. The information provided is for informational purposes only and is not a solicitation to buy or sell Raymond James Financial stock.



2015 TOTAL REVENUE BY PRIMARY SEGMENTS

Total revenue shows fiscal year data ending 9/30/2015.

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WELCOME ABOARD!

Raymond James is a firm that always puts the client first. And here, you are the client. Welcome.

WALNUT CREEK

John Delahaye, Financial Advisor

Lacey Brook, Service Associate

Christina Lira, Service Associate

SAN RAFAEL

Mark Rubin, Financial Advisor

Natasha Turner, Service Associate

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