

Evaluating Your Options: Choosing the Broker/Dealer That's Right for You

Making the decision to change brokerage firms is one of the most important things you'll ever do. Your actions have very real impact on you, your family and the future of your practice. There's a lot riding on this decision, so investigation and research become an indispensable part of the process for financial professionals who want to make the right move.

Your hard questions deserve direct answers. That's why we've created the broker/dealer frequently asked questions (FAQ) below. Learn exactly why Raymond James is the right firm for you. Contact us today at 877-909-6444 or advisorchoicecontact.com.

Broker/Dealer FAQ

Questions About Compensation

Do my clients belong to me or to the firm? What will happen to my book of business if I decide to leave?

Don't fight your firm for your book of business. At Raymond James, you own your book outright. And if you decide to leave or retire, you can take your book of business with you.

Does the firm have quotas or incentives for the sale of proprietary products?

At Raymond James there is no product pushing. No advisor is given extra incentive to sell one product over another, and we don't prescribe sales quotas that you must reach. Here, you offer the products that you believe are best for every client; the decision is yours. And remember, we won't take your high-net-worth clients away from you – on the contrary, our service model helps you attract and support a more affluent clientele.

How will the firm participate in the development of my 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. Our proprietary program helps you establish a formal business succession plan – and when it comes time to sell, we'll provide access to a network of potential buyers. We'll even assist with the execution of the sale itself. Your book is your future; our business valuation program analyzes your business and reveals its true worth. And for advisors who want to expand a business through acquisition, our practice planning team offers solid support, identifying businesses that are for sale.

Questions About Challenges

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

Raymond James has 4,850 advisors and 3,900 support staff, making our ratio of support staff to advisors less than 2:1. There are 1.3 advisors to every member of the home office staff. This is the kind of support that can make a real difference – every day.

How will the firm support my transition? What is the typical timeline for transition?

At Raymond James, our transition department assigns you a dedicated transition consultant and a technology consultant to personally assist with the important details from quickly and accurately processing account paperwork to helping your staff with appropriate technology. You're quickly able to resume serving clients. Many advisors are up and running in just a few weeks.

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

Our firm provides 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 3,900 on-call professionals, including our award winning research team and 700+ IT support staff. 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, professional development and a robust network for women advisors.

Questions About Challenges – continued

How will the firm's technology support (or hinder) my ability to serve my clients? What is the firm's annual investment in technology?

At Raymond James, we don't just talk about technology – we spend more than \$100 million a year developing technology solutions for our financial advisors. We don't just talk about support – we employ more than 700 information technology associates who put your needs at the center of the action. Don't settle for less; get 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.

Questions About Control

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

Things are different at Raymond James. Here, advisors are never restricted in their marketing activities. We put you in control, supporting you every step of the way with an in-house advertising agency that's staffed with 65 top marketing professionals. Gain time and confidence with a compliance team that's dedicated to marketing initiatives. Brand your practice and watch revenues grow. Get the best prices on websites, newsletters, print ads and more, all designed to make your practice stand out in a crowded marketplace. We'll even customize materials to fit your unique needs in your unique market.

How many business models does the firm offer to its advisors? Will I be able to transition my practice from one model to another as my goals for my practice 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. Gain full freedom to operate your business as a traditional employee, an independent employee, an independent contractor, or an independent RIA. Engage a firm that will actually help you change platforms as your life and your practice evolve.

Questions About Culture

What is the tenure of the firm?

Raymond James was founded 46 years ago 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 financial planning for the individual.

How does the firm measure advisor satisfaction? How does the firm measure client satisfaction?

When a firm has a solid commitment to advisor satisfaction, it shows. Raymond James uses a number of third-party resources to test advisor and client satisfaction – and we consistently score well. Our regretted attrition rate has been less than 1%. *Business Week* magazine ranked Raymond James among the top 20 companies in the nation for customer service in 2006, in part because of our success in helping advisors maintain a successful relationship with clients. We help you conduct your own client satisfaction surveys, too – it's a great way to improve your relationship with your clients and serves as a springboard for referrals.

How recognizable is the name brand of the firm? What is the firm doing to promote itself to investors?

As one of the largest full-service financial services firms in the United States, Raymond James has 2,200 locations worldwide and offices in all 50 states, Canada and the United Kingdom. Our national advertising campaigns appear on major television and print media outlets and the firm has a longstanding presence on National Public Radio. Investors 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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