

## INVESTMENT DEALER CHECKLIST

We understand that choosing a firm that suits your professional standards and unique business style requires diligent information gathering and careful evaluation. The following checklist can help you compare Raymond James with other investment dealers that you may be considering as you contemplate your next career move.

	<b>RAYMOND JAMES</b>	<b>FIRM #1</b>		<b>FIRM #2</b>	
<b>SELF-CLEARING</b>	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<b>CHOICE OF PAYOUT PLANS</b> Employee (IAS)/Agent (IFS)	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<b>PRODUCTS &amp; SERVICES:</b>					
Proprietary and Third-Party Research	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Mutual Fund & ETF Research	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Asset Management Services (SMA Program)	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Private Investment Management Group (Discretionary Portfolio Management)	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Tax Planning & Preparation Service	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Financial Planning	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Estate Planning & Insurance Products	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Trust Services	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Trading: Equities, Fixed Income, and FX	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Practice Management	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
RJLU (Cross-Border Accounts)	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<b>AUTOMATION SERVICES:</b>					
Real-Time Quote Service	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Real-Time Client Account Access	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Consolidated Statements	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Technical Support Center on a Toll-free Number	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Financial Planning Software	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Clients Access Personal Account Via Internet	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Clients Access Statements Online	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Windows™-Based System	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Private Network	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO

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	<b>RAYMOND JAMES</b>	<b>FIRM #1</b>		<b>FIRM #2</b>	
<b>MARKETING SERVICES:</b>					
Financial Advisor Website Program - (3 options)	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Social Media Program	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Customizable Client Communication & Prospecting Tools	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Cobranding	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Corporate Marketing Materials	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Event Support	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<b>TRANSITION SERVICES:</b>					
Transition Consultant for Orientation & Questions	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Dedicated Transition Team	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Operations Orientation	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Technology Orientation	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Advisory Services Orientation	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Registrations Orientation	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Marketing Orientation	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Compliance Orientation	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<b>EDUCATION:</b>					
Regional Education Conferences	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Annual National Business Conference	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Continuing Education Credits	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Operations Seminar	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<b>ADDITIONAL SERVICES:</b>					
Top Performers Recognition	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Network for Women Advisors	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Professional Referral Program	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Charitable Giving Program	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO