# TECHNOLOGY BUILT FROM THE MIND OF THE ADVISOR

Integrated, customizable tools designed for you and your clients.

RAYMOND JAMES

# Tech for you and your clients

At Raymond James, you'll have mobile apps at your fingertips, robust reporting and product research all in one integrated suite that lets you accomplish tasks in as few clicks as possible.

**FOR YOU**

Advisor Access

Advisor Mobile

Goal Planning & Monitoring

Opportunities

**FOR YOUR CLIENTS**

Client Access

Vault

External Account Aggregation

# Tech that connects

Supporting you with industry-leading technology that works for you, your business and your clients is a top priority at Raymond James. Built on advisor insights and feedback, our platform features seamless integration, intuitive applications and comprehensive support.

Each year, we invest hundreds of millions of dollars in technology, consistently innovating and streamlining. Our award-winning applications and systems allow you to improve efficiency and build even deeper connections with clients.

**RAYMOND JAMES TECHNOLOGY**

## By the numbers

**$975 million**
average annual investment

**1,400+** IT associates dedicated to building, supporting and securing state-of-the-art technology

**10+ years of winning** the Bank Insurance & Securities Association Technology Innovation Award[1]

"What truly sets Raymond James apart is its unwavering focus on the advisor-client relationship. The firm understands that with the right culture, sophisticated technology, deep support teams and expansive resources, advisors can serve clients at a higher level even in the most complex financial situations."

– MANAGING DIRECTOR, *Miami, Florida*

[1]The Bank Insurance & Securities Association (BISA) Technology Innovation Award is designed to recognize leadership in the advancement of the financial services industry's products, services and platforms through technology innovation. This award highlights companies for their commitment to advancements in technology-based solutions for the industry. Candidacy for the (2023) Technology Innovation Award is limited to products launched in (2023) and is open to BISA Leadership members, as well as Associate and Associate Plus members. This is based upon the period from 01/01/2022 to 12/31/2022 and was released on 02/28/2023. A total of 7 firms received this award out of the 7 that were eligible. The award is not representative of any one client's experience, is not an endorsement, and is not indicative of an advisor's future performance. Neither Raymond James nor any of its Financial Advisors pay a fee in exchange for this award. BISA is not affiliated with Raymond James. For more info see: https://www.bisanet.org/page/TechnologyAward

# Technology for **you**

Raymond James offers integrated technology built from the perspective of advisors to optimize efficiency in your practice. Our easy-to-use applications put you in control of your business and in sync with your clients. And it's all available with a single login – whether you're in a corner office or the coffee shop around the corner.

## WHERE TECHNOLOGY MEETS PRODUCTIVITY

### ADVISOR ACCESS

Advisor Access is the central point of interaction with Raymond James technology.

- Integrated, secure platform eliminates the need to log in multiple times as you navigate the system.
- The home page features a customizable dashboard, providing easy insight into your clients and practice.

## CLIENT MANAGEMENT

An integrated tech platform you can customize.

### CLIENT CENTER

Client Center is the central location for information about your clients and their accounts.

- Consolidated functionality makes it easy to manage accounts and respond to client needs.
- Provides access to trading, reporting, performance, CRM, documents and more.

### CLIENT RELATIONSHIP MANAGER (CRM)

Raymond James CRM makes capturing and using client data a seamless experience, offering automation and comprehensive integration with Client Center, Microsoft Outlook and Advisor Mobile.

- Access CRM data directly from Client Center for all-in-one convenience.
- Track emails, appointments and tasks to strengthen client engagement via Outlook integration.
- Manage recurring communications and events and forecast your workload with workflow capabilities and touchpoint management.


Client Reporting

Opportunities application

## CLIENT REPORTING

Client Reporting provides easy-to-use features to create a more personalized and comprehensive client review.

- Create attractive, easy-to-read, customized reports or combine multiple reports with your own content to create reusable package templates.
- Schedule custom report packages to run automatically on your preferred frequency.

## GOAL PLANNING & MONITORING (GPM)

The GPM application lets you and your client collaborate to reach financial goals using interactive scenarios that show clients how changes will impact their life.

- Identify client goals, assign risk tolerance, determine asset allocation targets and assess their probability of success.
- Determine appropriate spending or savings rates.
- Control client online access where they can review and experiment with their plan.

## OPPORTUNITIES

The Opportunities application leverages informational resources, databases, and analytics from across the firm and your business to deliver data-driven opportunities for intelligent business decision-making. And – this is key – it's entirely up to **the advisor** to decide which opportunities to take, not a branch manager and not the firm.

- Take action on timely, meaningful client touchpoints at the book or relationship level.
- Easily track tasks and collaborate across your team.
- Customize your at-a-glance dashboard with robust filtering options.

**Explore how our advisor-centric technology dovetails with our client-service offerings.**

Watch now.

## WEALTH MANAGEMENT

A flexible, streamlined approach to meeting investment and financial planning needs.

### PORTFOLIO MANAGEMENT

- Create a scalable and repeatable process using custom or firm-defined models.
- Produce detailed, customized investment proposals.
- Balance accounts to your models and monitor alerts based on your drift tolerances in discretionary trading.
- Use Current Account Analysis to run in-depth analytics for your clients' accounts.

### PRODUCT RESEARCH

- Quickly view research, news and market data for selected products.
- Search, screen, compare and review financial product attributes.
- Access client-friendly fact sheets and analytics from a consolidated interface.

### REBALANCE

Rebalance is a powerful calculation engine that allows discretionary and non-discretionary advisors to efficiently generate buy and sell orders across multiple accounts based on customizable trading objectives and target allocations, making spreadsheets a thing of the past.

- Easily raise, add and invest cash.
- Swap securities and exchange mutual funds.
- Rebalance a sleeve or multiple sleeves without using the entire allocation.
- Support tax loss harvesting by proposing orders based on defined criteria.

## PRACTICE MANAGEMENT

Take advantage of interactive practice dashboards, social media support and custom websites.

### PRACTICE CENTER

Easily gain insight into your intraday commissions, revenue and your book of business.

- View high-level summaries or drill down into production, AUM and net new asset details.
- Filter the data in charts and graphs so you can identify gaps, drive results and monitor activity.


### ADVISOR WEBSITES & SOCIAL MEDIA

Build a stronger brand and reach prospective and existing clients.

- Social media support to help you inform and engage with clients on LinkedIn, Facebook, Twitter/X, YouTube and Spotify for podcasters.
- Advisor websites with a broad spectrum of responsive design options and robust content to build your unique, personalized brand.

## MOBILITY

Access the information you need to support your clients and your practice while on the go.

### ADVISOR MOBILE

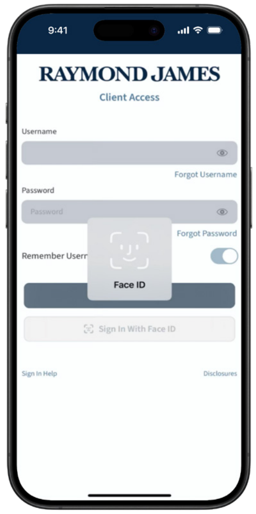
Tap into your business using Raymond James Advisor Mobile, an iPhone, iPad and Android app that offers seamless access to key data right at your fingertips.

- Quickly and easily access client and account information.
- View account balances and holdings, performance, recently run reports, CRM notes and more.
- Dictate your notes with integrated voice recognition.
- Print from the app via a Bluetooth-connected printer.


Advisor Mobile

# Technology for your **clients**

Clients receive unparalleled service and connectivity with our secure, user-friendly applications and mobile-optimized sites that allow them to access their Raymond James accounts whenever and wherever they want.

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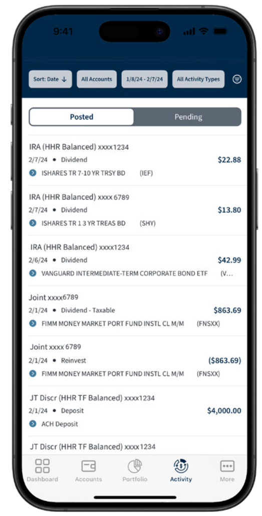


Client Access app

## ACCOUNT MANAGEMENT

### CLIENT ACCESS

The Client Access site and mobile app allow clients to view accounts and holdings, monitor and interact with their financial plan, pay bills, transfer funds, take shareholder actions and more from anywhere – all while going paperless.

- **Vault** – Clients and advisors can easily collaborate by uploading documents to our secure online file sharing and content management platform.
- **External Account Aggregation** – Clients get a holistic view of their financial life with this tool, which automates collection and updating of external assets and liabilities. This outside account data is also available to you in Client Center, Client Reporting and GPM.
- **Mobile Access** – The Client Access mobile app is available on Apple and Android. The app allows for secure access to Raymond James and external account data, the Vault and advisor information. It also offers mobile check deposit capabilities.


Client Access site

# Security for **you** and **your clients**

## OUR SECURITY PROMISE

We want your clients to have the highest level of confidence in doing business with you and Raymond James, so our technological systems are monitored 24 hours a day, 365 days a year, for signs of tampering or unauthorized activity. We employ the use of encryption, virtual private networks, penetration/vulnerability testing, and the latest firewall and antivirus technology. Our information technology professionals constantly research and develop enhancements to keep us at the vanguard of data security.

- **Layered Security** – A team of professionals using specialized programs provides technical assistance to prevent and detect intrusion or other suspicious activity.
- **Dedicated Support** – Full technical assistance from teams across the United States providing quick and comprehensive solutions for any disruption of business.
- **Cyber Threat Center** – Systems monitored 24 hours a day, 7 days a week for signs of tampering or unauthorized activity; email monitoring for regulatory and compliance purposes to protect your clients.
- **Incident Response** – Incident response team ensures appropriate technology and resources will be dedicated to the monitoring and prevention of cybersecurity threats.
- **Technology Risk Management** – A risk-based control framework protects our systems according to their sensitivity and criticality.

**Learn more about our Security Promise.**

**Watch now.**

We are committed to providing our advisors with leading-edge capabilities. Our technology is designed based on our advisors' input and feedback, so the tools are built from the perspective of the advisor. Our goal is to make our advisors' lives and practices more efficient, more productive and more convenient, so they can focus on their clients' needs."

– VIN CAMPAGNOLI,
*Raymond James Chief Information Officer*

RAYMOND JAMES®

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