RAYMOND JAMES

LIFE WELL PLANNED.

# INVESTMENT MANAGEMENT PLATFORM

Raymond James as a platform has helped our discretionary business flourish over the last seven years. The platform offers a wide range of investments, products and services which help us provide a bespoke service to our clients. If a fund or security is not available then the product management team get this set up in a matter of days.

Over the years, the relationship management team have always been on hand and are quick to respond to any queries or issues we have raised. The team at Raymond James are very knowledgeable and are invested in making our relationship a true partnership.

Trading can be difficult to administer with large volumes, but with the upgrades to the trading platform and the dealers and training team on hand, this has become a less daunting job for our wealth management team.

CHRIS MALLETT, FINANCE SHOP

# A platform that works for you

The Raymond James Investment Management Platform is a progressive wealth management solution that offers optimal efficiency and control for your FCA-authorised firm.

Raymond James is the leading platform for firms who specialise in discretionary investment management, as well as for financial planning firms who want to 'insource' investment management activities.

We give you the support you need to provide tailored solutions to your clients to help them achieve their financial goals, and to grow your business in a scalable way, without having to incur large fixed costs.

> An award-winning platform, designed to help you deliver a superior service for your clients, by a firm that places people at the heart of everything we do.

# About Raymond James

Raymond James Investment Services Limited has been offering trusted advice and personalised wealth management solutions in the UK since 2001. Our parent company, Raymond James Financial, Inc. has been doing the same in the US for over six decades.

We provide tailored investment management and financial advice to individuals and their families. We also provide investment management services to charities. As part of the core Private Client Group of Raymond James Financial, Inc., we benefit from the size and scope of a well-established, profitable and diversified financial services firm. To find out more, go to the Raymond James UK website.

Raymond James Financial was founded in St. Petersburg, Florida, USA, in 1962, has been a public company since 1983 and is now a Fortune 500 company, included in the S&P 500. Private Clients have always been at the heart of what we do and represent approximately 68% of the firm's revenue. We also have businesses focused on equity and fixed income capital markets, asset management and investment banking.

With a stable outlook credit rating and more than twice the total capital ratio required, Raymond James Financial provides a strong and stable foundation for our business and those we support in the UK.

# Our commitment

We're committed to helping individuals, corporations and institutions achieve their unique goals, while also developing and supporting successful professionals, and helping our communities prosper. Our culture is the foundation of our success; it differentiates us from the competition and shapes how we provide solutions and services to you and to each other.

Our **vision** is to be a financial services firm as unique as the people we serve, transforming lives, businesses and communities through the power of personal relationships and professional advice.

Our **values** are more than the characteristics that define Raymond James; they are our pledge and promise to clients, wealth managers and to each other.

### We put **clients first**

If we do what's right for our clients, the firm will do well and we'll all benefit.

### We act with **integrity**

We put others above self, and what's right above what's easy. We believe doing well and doing good aren't mutually exclusive.

### We think **long term**

We act responsibly, taking a conservative approach that translates into a strong, stable firm for clients, wealth managers and associates.

### We value **independence**

We respect autonomy, celebrate individuality and welcome diverse perspectives, while encouraging collaboration and innovation.

# Our offering

The Raymond James Investment Management Platform gives you the tools you need to deliver a superior investment and value proposition that differentiates you from your competitors.

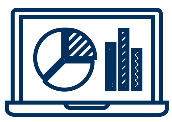
We don't centrally manufacture and promote any proprietary investment products in the UK ; instead **we offer access to a breadth of assets and tax wrappers**, ensuring there is no conflict to your unbiased investment selection.

Our investment management platform enables you to tailor your investment solution to suit your clients' needs.

As an LSE member firm, our direct market access provides **efficient and cost-effective trade execution in real time** with no additional third party broker fees for retail trades in London listed securities.

Our proposition is designed to provide you with the specialist services you require to service high-net-worth clients.

Open architecture



Robust client reporting

High-quality research

Technology solutions

# An open-architecture environment

Our services are delivered in an open-architecture environment, empowering you to select the products and solutions that meet your clients' needs in the most cost effective manner.

You will have access to a **wide range of investments** including exchange traded instruments such as ETFs, investment trusts, equities and bonds; UK registered and offshore funds; and alternatives such as structured products and hedge funds. In addition to General Investment Accounts, clients can have **tax-efficient savings accounts** such as ISAs and JISAs; SIPPs and other pension accounts with a variety of administrators; and offshore bond accounts with multiple providers.

**Multiple pricing options** allow you to choose the most suitable option based on your clients' portfolio size and expected trading volumes.

Raymond James administers client accounts on our platform and **BNY Pershing acts as our custodian.** BNY Pershing is part of the Bank of New York Mellon Corporation, a global investments company with a presence in six continents, 35 countries, and over 100 markets.

We're backed by the purchasing power of the Raymond James group, allowing us to achieve enhanced terms with fund groups. Following the acquisition of Charles Stanley, we've achieved further significant enhancements, providing meaningful savings to clients.

# Cutting-edge tools

Robust client reporting, tax-planning tools and access to research allows you to have meaningful conversations with your clients and create a tailored plan to help them achieve their financial goals.

**Client valuations** are published on a quarterly basis. The valuation report meets MiFID II requirements, as well as FCA requirements for discretionary management.

**Performance reports** on either an internal rate of return or time-weighted basis are available, with performance reflected against a single or composite benchmark.

To assist with tax planning, you can access the **CGix analytical tool** to track clients' CGT position throughout the year. or produce an annual CGT report.

In addition to the suite of client reports available to you, your **clients will have access to our secure online portal**. Client Access places clients' investment information at their fingertips: they can view their holdings, valued at the previous business day's closing price, detailed at the account level, as well as with a consolidated total plus the last two years' transactions.

As part of our **research solution**, you will have access to **fund analytics tools** and a number of **market data tools**, available at a discounted rate. We also provide access to Ethical Screening, a filterable database with access to over 180 ESG and SRI funds, as well as over 700 global direct equities.

Pre-approved market commentary written by our in-house economists and strategists is published on a regular basis and can be used to engage with clients.

For stock selection and investment strategy Raymond James has partnered with a third-party research aggregator to provide a MIFID II-compliant solution that gives you access to **direct equity research** from multiple research houses, covering UK, European and US equities, investment trusts, fixed interest and multi-asset strategies.

**Additional services to help your business stay MiFID II compliant** include; a costs-and-charges illustration tool, an annual costs-and-charges statement, and Transaction Reporting services.

# Innovative technology solutions

We provide leading technology solutions that will integrate seamlessly into your business so you can spend less time on manual processes and more time with your clients.

The Raymond James Trading and Rebalancing system provides **institutional-quality trade generation, portfolio modelling and rebalancing tools** - accessed via a simple and intuitive interface - reducing your time spent managing portfolios.

The **model comparison tool** provides graphical representation of portfolio positions against agreed tolerances, allowing you to rebalance at optimal times, avoiding unnecessary and costly trading. You can **maintain your own trading preferences**, giving you more control over the trading process and better equipping you to manage your clients' investments and manage risk.

Our portfolio management system is accessed through the **Raymond James Portal™**, our proprietary technology platform. Via the Raymond James Portal you can also extract data downloads into the Morningstar Adviser Workstation™ , as well as back-office systems, you can manage and approve corporate actions and access a comprehensive knowledge base that includes guidance, product availability, marketing materials, procedures, policies, training tools and much more.

The Raymond James Portal and other key technology assets are hosted and protected within the Raymond James Private Cloud and all associated data is managed by our in-house IT specialists. In addition to robust cyber security measures, that include **24/7 monitoring and advanced threat detection**, Raymond James operates two co-location data centres and conducts regular disaster recovery tests to ensure minimal interruption to business systems in the event of a problem.

# Why partner with us?

In addition to the tools and technology we provide to enable you to efficiently manage your clients' investments on our platform, you'll benefit from the support of a firm that's attuned to helping you deliver a true discretionary solution.

Raymond James is an integrated firm, with regional branches - where we are responsible for compliance and supervision of regulated activities - as well as our platform offering designed for directly authorised firms.

We have a genuine understanding of the challenges faced by those who work with us, and as such we are fully equipped to offer solutions in a world where regulation is constantly evolving.

Our Investment Management Platform enables your FCA-authorised firm to offer a more holistic and cost-effective service to your clients and increase the value of your business.

**Speak to our Business Development team today:**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Raymond James' UK service is professional and unfaltering. They understand our business. They are always seeking ways to assist and meet our enhancement requests, in order to improve our service provision to our clients. Raymond James' UK communication is timely, clear and informative.

Our relationship manager is very knowledgeable and always available to assist with any issues which may arise, with a prompt response and resolution. The technical team are easy to contact, with a willing and able response.
The platform is easy to use; service is stable and reliable.

LOUISE MCLEAN, MASECO