# all about your business

RAYMOND JAMES®

# CONFIDENTIAL PROFILE:
## SHORT-FORM QUESTIONNAIRE

Thank you for your interest in becoming affiliated with Raymond James Ltd.

We have achieved our position as a premier financial services company by ensuring we achieve the right fit with our Financial Advisors in terms of professional practice, standards, and culture. These are important factors in determining the long-term success of our Financial Advisors.

### Understanding Your Business

Just as we want you to have a complete understanding of our products, services, support and resources, we would like to gain a clear understanding of you, your business needs, your achievements and your experience. This Confidential Profile is an important tool to help us achieve this.

### Gathering Information

Please take the time to complete this Confidential Profile in full and return it to us at your earliest convenience. Please also attach statements confirming your gross production for the last one to three years.

### Privacy & Confidentiality

We pledge to maintain all of this information in the strictest confidence. All information collected in this Confidential Profile will be used for the purposes of managing or administering our potential business, employment or agency relationship. By completing this form, you consent to Raymond James Ltd. collecting, using, accessing and disclosing the personal information collected for these stated purposes.

Thank you for your candor and assistance in this important matter of our mutual interest. We look forward to continuing our discussions with you and trust that you will look to us to answer any and all questions you might have about our firm and how we are positioned to help you in the profitable advancement of your professional practice. We sincerely believe we will be able to help you make Raymond James the last broker change of your career.

**If there are ANY questions you cannot answer in this booklet, please draw them to our attention. It is important that ALL questions are answered accurately.**

**You have the option to complete this form in electronic or print format.**
**If handwriting your answers, please ensure that your handwriting is clear and legible.**

"Committed to your financial future"

***Please note that additional information will be required if we mutually decide to move forward.*

# PERSONAL INFORMATION

## A. CONTACT INFORMATION

**Full Legal Name:** _____ **Telephone:** _____

**Home Address:** _____ **Cell:** _____

_____ **Business Telephone:** _____

**Business Address:** _____

_____

**Email Address:** _____

**How would you prefer we communicate with you?** _____

**Do you expressly consent to Raymond James communicating with you for any business purpose via email and/or text messaging?** ☐ Yes ☐ No

## B. EMPLOYMENT/BUSINESS RELATIONSHIPS

**Current Firm:** _____ _____

**Past 10 Years:** _____ _____

_____ _____

_____ _____

**Do you carry an officer designation with your current firm (AVP, VP, SVP, Director, etc.)?** ☐ Yes ☐ No

*** If so, what is the designation?** _____

**Do you carry any other designations such as CIM, CFP, CFA, FCSI, FMA, etc.)?** ☐ Yes ☐ No

*** If so, please list and confirm they are good in standing:** _____

**Are you subject to any restrictive employment contracts and/or any financial obligations with your current broker?** ☐ Yes ☐ No

*** If yes, please note: e.g. non-solicit, non-comp, fiduciary:** _____

**Do you have a copy of your employment contract with your current employer?** ☐ Yes ☐ No

**Do you have a personal website(s) established under your registration through another employer?** ☐ Yes ☐ No

**Is that website currently accessible? If so, please provide the website address(es)** ☐ Yes ☐ No

_____

# BUSINESS INFORMATION

## C. BUSINESS INCOME AND OWNERSHIP

**Trailing 12-months production (T12) and Assets Under Administration (AUA) for the last three (3) years:**

**T12:**

| Current 12 Month Ending (Month/Year) | 12 Month Ending (Month/Year) | 12 Month Ending (Month/Year) |
|---|---|---|
| | | |

**AUA:**

| Current 12 Month Ending (Month/Year) | 12 Month Ending (Month/Year) | 12 Month Ending (Month/Year) |
|---|---|---|
| | | |

***(Note: Please attach statements reflecting 12 months of production covering one to 3 years.)***

**Product/Asset Mix $:**

**Equities** _____

**Bonds** _____

**Options** _____

**Mutual Funds** _____

**Mutual Funds Off-Book** _____

**Leveraged** _____

**Offbook Mutual Funds**

**SEG Funds**

**On Book** _____

**Off Book** _____

**Fee based (3rd Party Managed)** _____

**Fee based (FA Managed)** _____

**Cash** _____

**Illiquid Sec.** _____

(E.g. private co. shares, shares under escrow, private mortgages, hedge funds, small funds)

**Please provide details of the nature of these holdings:**

_____

**Other** (please specify) _____

**Total AUA:** _____

**Account Type (Percentage of Accounts)**

**Commission Based %** _____

**Fee Based for Service %** _____

**Discretionary Accounts %** _____

**Total Percentage of Accounts %** _____

**Account type (Number of Accounts)**

**Registered Accounts** _____

**Fee Based/Separately Managed Accounts** _____

**Fee Based/FA Managed** _____

**Cash/Margin Accounts** _____

**Other (please specify)** _____

**Total Number of Accounts:** _____

**Total Number of Households:** _____

**Approximate Total Dollar Value of margin used:**

**Currently:** _____

**On Average:** _____

**Approximate Total Dollar Value of Pro Accounts:**

**AUA:** _____

**T12 Rev:** _____

# BUSINESS INFORMATION (continued)

How many RRIF/LIF accounts do you hold? _____

Do you hold Off-Book Mutual Funds? ☐ Yes ☐ No
*If yes, do you intend to move them on-book?

Are you currently licensed to service U.S. residents? ☐ Yes ☐ No
*If yes, please list exams completed: _____

Do you have any accounts for U.S. residents? ☐ Yes ☐ No
*If yes, please list states: _____

Do you have any Snowbird accounts (Canadian clients who live in the US for less than 6 months in any given year)? ☐ Yes ☐ No
* If yes, please list states: _____

Do you have any accounts in off-shore districts? ☐ Yes ☐ No
* If so where? _____

Do you have any formal Trusts? ☐ Yes ☐ No
*Notarized Trust Agreements will be required if accounts are transferred.

Do you have any Power of Attorney (POA) Accounts? ☐ Yes ☐ No
*Notarized POA plus ID required upon account transfer.

Do you have clients who are Canadian Residents with US citizenship or a Green Card? ☐ Yes ☐ No
*W9 required.

Do you have any IPP's? ☐ Yes ☐ No

Do you have any Minor Trusts nearing legal age? ☐ Yes ☐ No

Do your clients hold private company shares, escrow or private mortgages? ☐ Yes ☐ No

Do your clients hold any specialty funds (F class, hedge, small fund co.'s)? ☐ Yes ☐ No

Are you familiar with the Raymond James Private placement policies and guidelines? ☐ Yes ☐ No
Do you intend to participate in private placements while at Raymond James? ☐ Yes ☐ No
*If yes, approximately how many clients participate? _____
*If yes, approximate combined dollar value of holdings: _____

Do you currently hold any OTC Bulletin Board securities? ☐ Yes ☐ No
*If yes, how were they acquired: _____
* How many different positions? _____

Do you currently operate a Social Networking site? ☐ Yes ☐ No
*If yes, please provide the website addresses/handles _____

If you move firms, do you anticipate bringing a registered sales assistant? ☐ Yes ☐ No
a registered sales associate? ☐ Yes ☐ No

Are you life licensed? ☐ Yes ☐ No

Do you currently carry Portfolio Manager (PM) designation? ☐ Yes ☐ No

**Do you have any special administrative requirements? i.e. cheques, physical certificates, leveraged off-book mutual funds, off-book mutual funds.** *For leveraged off book mutual funds, please provide the gross value of the assets, the gross value of the loans, the number of clients involved and the source of the loans.*

**Please list your Top Ten (non-cash/cash equivalents) Holdings including Equities, Mutual Funds and Specialty Funds in your book of business as measured by Market Value:**

| Name | Market Value (Approx) | Number of Client Holdings |
|---|---|---|
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |

**Do you have a concentration in any sector that exceeds 25% of your book? If so, which sector(s)?**