Client Service Standard of Care



RAYMOND JAMES

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Investment Management

Basic Level

0-\$100,000

Ongoing portfolio monitoring

Annual review

Investment advise

Organizer/Vault

IRA RMD planning

Quarterly newsletter

Online Investor Access

Online Digital Document

Investment Management Enhanced Level \$100,000-\$250,000

- All-Inclusive account aggregation
- Performance summary reports
- · Capital gain tax planning
- Beneficiary review on all retirement accounts and annuities
- Semi-Annual review
 - Investment advise
 - Ongoing portfolio monitoring
 - Online Investor Access
 - Online Digital Document Organizer/Vault
 - IRA RMD planning
 - Quarterly newsletter

Financial Planning and Investment Management Basic Level \$250,000-\$500,000

- Financial goal planning
- Customized model and portfolio construction
- Retirement needs analysis
- Education fund strategies
- Survivor needs/ Insurance review
- · Long-term care planning
- Annual 401 (k) education
- · Securities class action paperwork assistance
- · All-Inclusive account aggregation
- Performance summary reports
- Capital gain tax planning
- · Beneficiary review on all retirement accounts and annuities
- Semi-Annual review
- Investment advise

- Online Digital Document Organizer/Vault
- Quarterly newsletter

Financial Planning and Investment Management Custom Level \$500.000-\$1.000.000

- Total Asset Allocation Advantage
- · Collaboration with CPAs and attornevs
- Estate planning
- · Tax planning strategies
- Executive compensation analysis
- Income distribution strategies
- · Financial goal planning
- Customized model and portfolio construction
- Retirement needs analysis
- **Education fund strategies**
- Survivor needs/ Insurance review
- Long-term care planning
- Annual 401 (k) education
- Securities class action paperwork assistance
- All-Inclusive account aggregation
- Performance summary reports
- Capital gain tax planning
- · Beneficiary review on all retirement accounts and annuities
- Quarterly review
- Investment advice
- Ongoing portfolio monitoring
- Online Investor Access
- Online Digital Document Organizer/Vault
- IRA RMD planning

COMPREHENSIVE WEALTH MANAGEMENT Concierge Level \$1,000,000+

- Charitable planning strategies
- Complex trust strategies
- Assistance in settling estates
- · Small business strategies and succession planning
- · Wealth transfer education for the next generation
- Total Asset Allocation Advantage
- Collaboration with CPAs and attorneys
- Estate planning
- · Tax planning strategies
- Executive compensation analysis
- Income distribution strategies
- Financial goal planning
- Customized model and portfolio construction
- Retirement needs analysis
- · Education fund strategies
- Survivor needs/ Insurance review
- · Long-term care planning
- Annual 401 (k) education
- Securities class action paperwork assistance
- All-Inclusive account aggregation
- Performance summary reports
- · Capital gain tax planning
- · Beneficiary review on all retirement accounts and annuities
- Quarterly review
- Investment advice
- Ongoing portfolio monitoring
- Online Investor Access
- Access to the Vault Online digital document organizer
- IRA RMD planning
- Quarterly newsletter

Ongoing portfolio monitoring

Online Investor Access

IRA RMD planning

Quarterly newsletter

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