

## Item 1 - Cover Page

Brochure Supplement  
Geoffrey P. Raymond  
Raymond Capital Advisors, LLC  
4201 Las Palmas Way  
Sarasota, FL 34238  
(941) 961-8404  
October 2011

**This Brochure Supplement provides information about Geoffrey P. Raymond that supplements the Raymond Capital Advisors, LLC (“RCA”) Brochure (“Brochure”). You should have received a copy of that Brochure. Please contact Geoffrey P Raymond, President and Chief Investment Officer at (941) 961-8404 if you did not receive RCA’s Brochure or if you have any questions about the contents of this supplement.**

**Additional information about Geoffrey P. Raymond is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## Item 2 - Educational Background and Business Experience

**Geoffrey P. Raymond, CFA® (CRD #1642689)**

Year of Birth 1943

### EDUCATION:

Bachelor’s degree (cum laude), Political Science, Providence College, Providence, RI (1965)

Masters of Business Administration (MBA), Finance, the Wharton School, University of Pennsylvania, Philadelphia, PA (1967)

## EMPLOYMENT:

Chief Executive Officer/Chief Investment Officer - Raymond Capital Advisors, LLC (08/2011 to Present)

Chief Executive Officer/Chief Investment Officer - Ned Davis Investment Management, LLC (06/2010 to 08/2011)

Managing Director/CIO/Director/ESOP Trustee - Ned Davis Research, Inc. (02/1997 to 08/2011)

Vice Chairman/Managing Director/Senior Sales Consultant - Davis, Mendel & Regenstein, Inc. (08/1996 to 02/2010)

## PROFESSIONAL DESIGNATIONS:

**Chartered Financial Analyst (CFA®) (1973)**

## PROFESSIONAL DESIGNATION DISCLOSURES:

The CFA® Charter is a globally recognized, graduate-level investment credential. Earning it demonstrates a commitment to professional ethics and expertise with the broad range of skills needed for competitive careers in the investment profession.

To earn a CFA charter, one must have four years of qualified investment work experience, become a member of CFA Institute, pledge to adhere to the CFA Institute Code of Ethics and Standards of Professional Conduct on an annual basis, apply for membership to a local CFA member society, and complete the CFA Program.

CFA Program curriculum topics:

- Ethical and professional standards
- Quantitative methods
- Economics
- Financial reporting and analysis
- Corporate finance
- Equity investments

- Fixed income
- Derivatives
- Alternative investments
- Portfolio management and wealth planning

A commitment to professional ethics is at the core of CFA Institute.

CFA Institute members and CFA Program candidates are subject to professional conduct enrollment/admission criteria and must comply with the Code and Standards. Additionally, members must annually complete and sign a Professional Conduct Statement, disclosing any allegations of professional misconduct.

### **Item 3 - Disciplinary Information**

Raymond Capital Advisors, LLC is required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of Geoffrey P. Raymond. No events have occurred that are applicable to this Item.

### **Item 4 - Other Business Activities**

Geoffrey P. Raymond is not actively engaged in any other investment-related business or occupation, or has an application pending to register as a broker-dealer, registered representative of a broker-dealer, futures commission merchant ("FCM"), commodity pool operator ("CPO"), commodity trading advisor ("CTA"), or an associated person of an FCM, CPO, or CTA.

Geoffrey P. Raymond is not actively engaged in any other business or occupation for compensation, nor is he actively engaged in other business activity or activities that provide a substantial source income or involve a substantial amount of time.

### **Item 5 - Additional Compensation**

Geoffrey P. Raymond does not receive economic benefit, including sales awards, other prizes, and any bonus that is based, at least in part, on the number or amount of sales, client referrals, or new accounts, for providing advisory services, other than his regular salary.

### **Item 6 - Supervision**

Raymond Capital Advisors, LLC has adopted, and periodically updates, a compliance manual that outlines for each employee the various rules and regulations to which they

are required to adhere. Geoffrey P. Raymond reviews and monitors all activity with respect to the rules and regulations. In addition, RCA has adopted a Code of Ethics that requires each employee to act in the best interest of client's at all times. Should you have questions related to these activities, please contact Geoffrey P. Raymond, President and Chief Investment Officer at (941) 961-8404 or via email at [raymondcapitaladvisors@gmail.com](mailto:raymondcapitaladvisors@gmail.com).

### **Item 7 - Requirements for State-Registered Advisers**

Geoffrey P. Raymond has not been involved in any arbitration claims or any civil, self-regulatory organization or administrative proceeding involving investment advisory business or activities. In addition, Geoffrey P. Raymond is not currently, nor at any time in the past ten years been, subject of a bankruptcy petition.