HOW TO CHOOSE A FINANCIAL ADVISER

Financial Adviser Questionnaire – Seven Questions to Ask First

We have developed this questionnaire to be helpful in your search for a financial adviser. These are Key Questions you should require be completed when interviewing for a potential relationship, or in evaluating your existing adviser relationship. You should have the Adviser sign this for your file.

Adviser Name: ________________________ Firm Name: ________________________ Ph. __________

Are You a: [ ] Registered Investment Adviser (RIA) or [ ] Representative of an Investment Adviser (IAR) [ ] CFP™

RIA CRD# _______________ IAR CRD# _______________ CFP BOARD ID # __________

1. Are you held to a fiduciary standard in all dealings with me? In other words, are you bound to always act in my best interest? Yes____ No____

2. Will you provide me with a written disclosure detailing any disciplinary history for you and your firm? Yes____ No____

3. Will you disclose all conflicts of interest, (actual or potential) that may exist in my relationship with you? Yes____ No____

4. Can you also provide Financial Planning Services as well as Investment Advisory Services? Yes____ No____

5. Are Investment Advisory and Financial Planning services performed by Certified Financial Planner (CFP™) professional? Yes____ No____

6. Exactly how are you compensated, and by whom?

Commissions ___% Fees ___% Other ___% by: ____________________________

Will all compensation be fully disclosed up front (to me) and in dollar terms? Yes____ No____

7. Will your Investment Adviser disclosure Brochure (ADV) be delivered today? Yes____ No____

Finally: In the future, HOW and WHEN will you keep me informed of Significant Changes in the WAY YOU DO BUSINESS.

________________________________________________________________________

I affirm that each of these questions has been fully answered honestly and truthfully.

__________________________________________  ____________________________  __/__/____
Financial Adviser Name  Signature  Prof. Designation  Date