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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 a Investment Adviser (IAR) [ ] **CFP™** Yes_____ No _____

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 F**inancial 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.

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

______________________	______________________	______________	____/_____/_____
Financial Adviser *Name*	*Signature*	Prof. Designation	Date

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