



12 Questions to Ask a Prospective Financial Advisor

Advisor: _____

Firm: _____ **Date:** _____

1. How will you assist me in reaching my financial goals?

2. How are you compensated as an advisor?

3. If you accept commissions, will you provide an itemized list of the amount of compensation you earn from the different products you recommend to me?

4. Do you accept or pay any referral fees?

5. Are you held to a fiduciary standard of care at all times?

6. Will you sign a fiduciary oath to put my interests first at all times?

Note: Questions were adapted from "How to Find an Advisor" by NAPFA at www.napfa.org/HowtoFindAnAdvisor.asp



12 Questions to Ask a Prospective Financial Advisor

Advisor: _____

Firm: _____ **Date:** _____

7. What are your professional credentials and experience?

8. Have you ever been disciplined by the SEC or FINRA?

9. Do you provide comprehensive financial planning? Or do you only offer investment management?

10. What is your investment philosophy or style?

11. Do you have clients similar to my age or stage of life?

12. What happens to our relationship if something happens to you?