Financial Advisor Preliminary Interview

Before hiring someone as important to my future as a financial/investment advisor, I need to know more about you and your business practices. Please understand that, even if we have some kind of relationship (friend, family member, etc.), hiring an advisor is a decision that can effect the rest of my life and cannot be entered into lightly. I would appreciate it if you would carefully and honestly answer these simple questions below, so that I will be better able to understand the extent of our business relationship to avoid future misunderstandings or problems. Thank you.

ABOUT YOU & YOUR FIRM

Your name

Firm name

How long?

Previous firm(s)

Have you been disciplined by a regulatory agency? YES NO (if "YES" explain)

Licenses and designations held:

Registered as an investment advisor? YES NO

What do all those letters mean?

ABOUT YOUR PRACTICE

Do you provide a written analysis of my current situation and future plan?

YES NO

Do you help implement my plan?

YES NO

Do you offer ongoing financial and investment advice, even for those assets you don't manage?

YES NO

Do you or your firm take custody of my assets?

YES NO

If NO, who will have custody of my assets?

Do you have discretionary trading authority?

YES NO

Other financial or investment services offered:

additional notes/comments

COSTS, FEES, & COMPENSATION STRUCTURE

How are you and your firm compensated (check one and elaborate)?

Fee-only

Percentage of assets under management

% on the first $ under management

% from $ to $

% from $ to $

Hourly rate? $ Minimum fee? $

Other fees (explain)

Fee-based (fees *plus* commissions - please provide details)

Fee-based (commissions offset fees - please provide details)

Do you pay or receive referral fees from other professionals (explain)?

YES NO

Do you receive ongoing fees or "trailers" from products sold or recommended (explain)?

YES NO

Do you receive any other fees or compensation not mentioned (explain)?

YES NO

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additional notes/comments

INVESTMENT PHILOSOPHY & PRODUCTS USED

Please explain your basic investing philosophies and investment criteria in the simplest possible language. Please avoid industry jargon and terms like "strategic" or "tactical."

What types of investments do you use in your practice (mark all used) ?

- Active mutual funds/ETFs
- Passive mutual funds/ETFs
- Annuities/insurance products
- Individual stock/bonds
- Alternative investments
- Commodities/metals
- REITs, trusts, partnerships
- Options and future contracts
- Other (explain below)

AFFIRMATION

Do you affirm that the information provided on page one and on page two (above) is true and as complete as space will allow and, if additional disclosure information is required, it will be provided to me in a timely manner.

advisor signature/date

Thank you for your time and candor. This will help me make an informed decision.

If you are a registered investment advisor, please send a copy of your latest ADV forms.

If you are able, please sign the fiduciary pledge below.

FIDUCIARY PLEDGE

Are you willing to sign the fiduciary pledge below. YES NO

I affirm that I am required, by law, to act in your best interests. I take my fiduciary responsibility to you very seriously. Therefore, I promise to adhere to a strict fiduciary standard in all of our dealings as follows:

- I will always put your interest ahead of my own.
- I will conduct prudent and responsible due diligence, using the best resources at my disposal to arrive at carefully considered advice, suggestions, and recommendations.
- I will always behave honestly. All important facts about my advice, including any and all fees and commissions charged and/or received, will be fully and clearly disclosed.
- I will avoid conflicts of interest and, should potential conflicts of interest arise, will disclose and manage them in your favor, at all times.

advisor signature/date