

**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?

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

Registered as an investment advisor? YES NO

Licenses and designations held:

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)

Commission only (please show commission percentages received)

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

INVESTMENT STYLE AND PHILOSOPHY

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?

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

please note any other investments used that are not listed above

AFFIRMATION

Do you affirm that the information provided is true and as complete as space will allow and, if additional disclosure information is required, it will be provided in a timely manner.

adviser signature/date

FIDUCIARY PLEDGE

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.

adviser signature/date