
Questions to ask when hiring a Financial Advisor

1. How are you compensated and what are my all-in costs?
2. Are you independent or employed by a firm?
3. What are your qualifications? How long have you been doing this?
4. Do you act as a Fiduciary?
5. Who will I be working with within your firm and how often will we meet?
6. What is your process when working with your clients?
7. Do you manage the portfolios yourself or utilize an outside firm?
8. What is your investment philosophy? Do you follow an Investment Policy Statement?
9. What custodian do you use for my assets? Are they independent or part of your organization?
10. Do you have any Disclosures with any regulatory bodies?

