

## Financial Advisor Questionnaire

1. What is your position/title?

- Stock Broker
- Financial Advisor, Financial Consultant, Financial Planner
- Wealth Manager
- Registered Representative
- Registered Investment Advisor

2. What is your educational background? Please select the highest level attained.

- High School Degree
- College Degree
- Graduate Degree
- Doctoral Degree

Please enter the schools you attended or attach ADV Part 2B.

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3. What certifications/designations do you hold?

- Chartered Financial Analyst (CFA)
- Certified Public Accountant (CPA)
- Certified Financial Planner (CFP)
- Chartered Financial Consultant (ChFC)
- None of the Above

4. How many years of experience do you have in the investment industry? \_\_\_\_\_

Please include a link to your ADV brochure in the box below.

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5. What is the Standard of Care you are bound by?

- Fiduciary Standard
- Suitability Standard

6. Have you ever been cited by a professional or regulatory governing body for disciplinary reasons?

- Yes
- No

Please include your CRD# or Full Name and Firm Name to enter at [www.brokercheck.com](http://www.brokercheck.com).

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7. How are you compensated?

- Hourly
- Commissions
- Advisory Fee
- Flat Fee

8. Do you have a minimum fee and/or account size for investment management?

- Yes
- No

Please summarize below.

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9. Do you receive compensation from investments you may recommend to me (12b-1 fees, loads, etc.)?

- Yes
- No

10. Do you receive referral fees from attorneys, accountants, insurance professionals, mortgage brokers, or other individuals?

- Yes
- No

Please summarize below.

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11. Please provide documentation on your investment philosophy and investment process.

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12. Generally speaking, what investment products do you usually recommend for a portfolio? Check all that apply.

- Stocks
- Bonds
- Mutual Funds

- ETF's
- Closed-End Funds
- Annuities
- Separate Accounts/CIT's
- REIT's
- Commodities

Please summarize other investments not noted below.

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13. Do you utilize any derivatives in client portfolios (futures, options, forward contracts, etc.)?

- Yes
- No

14. Do you conduct your own investment research (individual securities, managed products, etc.)? Please select all that apply.

- Individual Securities
- Managed Products
- Other
- None

Please include a link to an example report for all selected.

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15. Do you utilize any third-party research for investment recommendations?

- Yes
- No

If yes, please provide a list of the third-party research providers that you utilize.

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16. Do you make tactical trades in client portfolios (i.e. shorter-term trades that vary from the client's long-term benchmark) as a part of your investment strategy?

- Yes
- No

Describe your last tactical trade and the reason for it.

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17. How often will you communicate with me about my portfolio?

- Every trade
- Monthly
- Quarterly
- Semi-Annually
- Annually

18. Where are my assets held?

Please summarize below.

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19. Do you own the same investments you are recommending for my portfolio?

- Yes
- No

If no, please explain briefly.

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20. Will you provide me with an investment policy statement (IPS)?

- Yes
- No