

What to Ask When Choosing an Advisor?

1. What experience do you have?
2. Where did you go to school?
3. What is your recent employment history?
4. What licenses do you hold?
5. Are you registered with the SEC, the state or other regulators?
6. What products and services do you offer?
7. Can you only recommend a limited number of products and services to me?
8. How are you compensated?
9. Have you ever been disciplined by any government regulator for unethical or improper conduct?
10. For Registered Investment Advisors, will you send me a copy of both parts of your form ADV?