

A checklist for prospective clients . . .

A Questionnaire for Financial Advisors¹

- In the event that you go out of business, how are my assets protected?
- How are you regulated?
- Have there been any regulatory marks against your Firm, if so what were they?
- What money market(s) do you use? Are they 100% safe?
- How quickly can the accounts be changed to react to the market?
- Are my accounts insured in anyway?
- How do I get in touch with you?
- What if my risk/return outlook changes?
- What if I would like to go to cash, do you have a cash product?
- What are my advantages of money managers over ETF/Index Funds?
- What exactly is my fee paying for?
- What is your due diligence process on selecting money managers?
- Will my accounts be subject to redemption fees if I need to get out of the market quickly?
- Have any of your clients ever filed a complaint about you to FINRA or the SEC?
- I don't want to take on any market risk at this time, as I'm afraid the economy will deteriorate further. What investments can you recommend that will not lose their value in the event of a market crash?
- I think that the market has bottomed out and I want to invest aggressively. What would you recommend?