



VOICE OF INDEPENDENT FINANCIAL SERVICES FIRMS
AND INDEPENDENT FINANCIAL ADVISORS

GETTING STARTED: QUESTIONS TO ASK AN ADVISOR

Want to start working with an advisor? Great! The following are a few questions you should ask a potential advisor before you start working with them to make sure he or she is a good fit, will meet your needs and is someone you will be comfortable working with.

- How long have you worked in the financial services industry?
- What is your educational background?
- Do you have any designations or credentials? What licenses do you hold?
- What kind of continuing education are you doing?
- Can you please describe your firm?
- What services do you offer?
- How are you paid for your services, both directly and indirectly?
- What is your approach to financial planning?
- How often do you meet with clients to re-evaluate their needs/plans?
- What are your potential areas for conflicts of interest?
- Do you have a minimum net worth or income requirement?
- How many clients do you currently have?
- Will you be the only person working with me?
- Could you give me three clients' names and contact information as references?

Sources:

[Questions to Ask a Potential Financial Adviser](#), *Wall Street Journal*
[10 Questions to Ask a Financial Advisor](#), *US News & World Report*
[Questions to Ask Your New Financial Adviser](#), *Wall Street Journal*
[Top 6 Questions to Ask Your Financial Advisor](#), *ABC News*
[25 questions for a potential financial adviser](#), *MarketWatch.com*
[Working with a Financial Advisor](#), *Goldman Sachs Asset Management*