



**Financial
Avenues, LLC**

Simple Directions To Where You Want To Be

QUESTIONS TO ASK A FINANCIAL ADVISOR

KNOW WHAT TO ASK TO GAIN KNOWLEDGE TO MAKE AN INFORMED DECISION.

This document provides you with a list of questions to ask a potential Financial Advisor as you determine whether to hire them for your financial needs.

QUESTIONS TO ASK A FINANCIAL ADVISOR

Below you will find a variety of questions you may select from as you interview potential financial advisors you are considering.

General Questions

1. How long have you been a financial advisor?
2. Why did you choose to become an advisor?
3. Tell me about your experience, education and qualifications. Do you have the CFP designation or other credentials? Why or why not?
4. Are you a fiduciary? A fiduciary is a person who has to place the client's interests ahead of their own.
5. What areas of financial planning do you feel you are an expert in?
6. What types of services do you offer?
7. What is your investment approach?
8. How are you different from other advisors in the area?
9. What types of clients typically hire you and/or what type of clients do you specialize in?
10. What are your plans for the future of this firm? Continue with one/two advisors? Grow the firm? Other?
11. For a single advisor in a firm, what happens if something happens to you? Do you have a backup plan or someone to step in during your absence?
12. What is your process for keeping my information secure and confidential?
13. How are you paid? Please explain how your fees work and the options available.
14. What can I expect if I hire you? Will I work directly with you or also with others?

Questions To Ask At An Initial Meeting

1. After our meeting today, what happens next?
2. Please explain the process for how we would work together.
3. Once I have provided all of the information you request, what is the normal timeframe for the work to be completed?
4. What can I/we expect when we meet to review your recommendations?
5. Do you offer assistance with implementing the recommendations you provide?
6. Do you offer continuous, on-going advice regarding my financial situation?

