QUESTIONS TO ASK A WEALTH ADVISOR

Find a wealth advisor who takes the time to understand what matters most to you.

Choosing a wealth advisor is an important decision. These questions can help you better understand an advisor's approach, services, and how they work with clients before deciding who is the right fit for your goals.

EXPERIENCE AND APPROACH

Are you a fiduciary, and how do you put my interests first?
Understand how recommendations are made based on your goals and priorities.

What types of clients do you typically serve?
Look for experience helping clients with situations and goals similar to yours.

What professional designations or credentials do you hold?
Learn how their education and experience support the advice they provide.

SERVICE AND PLANNING

What services do you provide beyond investment management?
Understand whether they provide guidance beyond investments, including financial planning and other important decisions.

How will you develop a plan around my goals and priorities?
Your plan should reflect your unique circumstances and what you want your wealth to accomplish.

FEES AND TRANSPARENCY

How are you compensated, and what fees will I pay?
Understand how they are paid, what services are included, and any additional costs.

Are there any potential conflicts of interest I should be aware of?
A trusted advisor should be transparent about compensation and how they manage conflicts.

Do you have any regulatory disclosures, disciplinary actions, or complaints?
A trusted advisor should answer openly and be transparent about their professional record.

THE CLIENT RELATIONSHIP

Who will I work with, and how involved will my advisor be?
Understand who supports your relationship and how their team works together.

How often will we communicate and review my plan?
Ask how often you will meet and how your plan will evolve as your life changes.

Recommendation:
Verify an advisor's professional background through public resources, including FINRA BrokerCheck https://brokercheck.finra.org/ and the SEC's Investment Adviser Public Disclosure (IAPD) database.

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