

Fiduciary Questionnaire

Why do you need to *Focus on Fiduciary*?

Because Financial Advisors adhering to a Fiduciary Standard act in the client's best interests. These advisors are not Stock Brokers or Registered Representatives who benefit from selling you an investment or financial product. Fee-Only Financial Advisors adhere to a Fiduciary Standard and sell only one thing – their knowledge.

Do you want to know if your Financial Advisor, or prospective Financial Advisor, holds to a Fiduciary Standard? Just have them complete this quick questionnaire and compare the answers with the provided answer key. You'll be happy you did!

1. How are you and your firm compensated?
 - Fee-Only
 - Fee-Based
 - Fee-Offset
 - Commissions

2. Do you have an agreement describing your compensation and services that will be provided in advance of the engagement?
 - Yes
 - No

3. Do you have a minimum fee?
 - Yes (If yes, please explain)
 - No

4. If you earn commissions, approximately what percentage of your firm's commission income comes from?
 - _____ % Insurance products
 - _____ % Annuities
 - _____ % Mutual Funds
 - _____ % Limited Partnerships
 - _____ % Stocks and bonds
 - _____ % Coins, tangibles, collectibles
 - _____ % Other: _____

5. Does any member of your firm act as a general partner, participate in, or receive compensation from investments you may recommend to me?
 - Yes
 - No

6. Do you receive referral fees from attorneys, accountants, insurance professionals, mortgage brokers, or others?
 - Yes
 - No