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Below are a list of important topics you may want to consider when asking questions:

- Transparency
- Capabilities
- Service/Communication
- Team Structure
- Process
- Discipline
- Accountability

Below are list of questions we would ask if we were in your situation or things to consider for each topic:

Transparency:

- Are you a Fiduciary?
- How do you charge for your services and how much?
- What other type of advice is included in your fee besides the portfolio?

Capabilities:

- What services do you provide?
- What is the size of your firm?
- What capabilities or value added services do you provide outside of asset management?

Service/Communication:

- How will we work together?
- Who will I work with directly?
- How often will we communicate?
- What is your service model?
- What makes your client service model unique?
- What hours does your team work and who can I call if I have an emergency? No 1-800 numbers

Team Structure:

- What is the makeup of your team and do you have a CFP® on the team?
- What are your assets under management?
- Are you part of a team or sole practitioner?
- How many clients do you have?
- What does your typical client look like?
- Is the team structured to address continuity and working with multiple generations?

Process:

- What is your investment process and how do you customize it to my situation?
- What is your process for identifying my goals and objectives?
- Who chooses the investments? Do you pick the stocks or does a money manager?
- What types of investments do you use? What makes you unique as it relates to asset management?
- What do you do to minimize taxes?
- Do you feel your process is geared to truly understanding my goals and objectives or are they just selling products?
- What is your process to work with my other trusted advisors?
- Are there any investments you recommended with upfront fees?
- If they do financial planning ask to see a sample and have them walk you through it.

Accountability:

- What frequency do you report to clients?
- How do you hold yourself accountable? How should we hold you accountable?
- How would we know if we are on track towards our goals?
- How many clients have you lost over the last 10 years? Why did they leave?