



Top 10 Items for “How to Hire an Advisor”

1. Confidentiality

- At all times, confidentiality should be strictly enforced

2. Solo Practitioner vs. “Team” Approach?

- Which one are you comfortable with?
- What happens to your account if advisor retires or dies?
- What is their succession plan?

3. Staff & Infrastructure

- Are you buying into the firm vs. the advisor?
- Ongoing service is critical
- Can the firm support an increase in clients and businesses?

4. Independent vs. Captive?

- Is your advisor tied to one company?
- Are you seeing more than one option?

5. How is Advisor Compensated?

- Commissions, fees, combination of both (no right or wrong)

6. Technology & Access to Information

- World class technology & service
- Online statements/websites

7. Expectations for Both Parties Need to be Discussed

- Who initiates the review meetings?
- How often are review meetings?
- What is covered at review meetings?

8. Firm’s Overall Investment Philosophy

- Conservative, lower risk vs. aggressive, higher risk
- Younger or older client base of firm

9. Education & Experience

- Credentials & knowledge
- Updates, web or emails
- Workshops & seminars

10. Does the Firm Have Contacts to “Delegate” to Other Professionals?

- CPA’s, Attorneys, Insurance Brokers, etc. (Team Approach)

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