



TRIBOX
PRIVATE WEALTH



Hiring a Financial Advisor: *Questions to Ask*

Hiring a Financial Advisor can be a daunting experience, so here's a list of important questions to ask.



1. Credentials & Experience

- "What qualifications, certifications, or designations do you hold?" (e.g., CFP, CPA, CFA)
- How long have you held them?
- What is your personal investment philosophy around investments, cashflow management, and protection?
- Would you be willing to share with my your networth and your allocation and talk me through why you selected what you have and how it fits into your long-term and short-term plans?

2. Scope of Services

- "What services do you offer? Can you cater to my specific needs like retirement planning, tax planning, or estate planning?"
- For my specific needs, tell me about a case you recently worked on, what was the issue and how did you help the client solve it?

3. Fiduciary Duty

- "Do you act as a fiduciary? Will you always act in my best interest?"
- Will you act in my best interest on managed accounts as well as brokerage accounts?

4. Compensation Structure

- "How are you compensated for your services? Do you earn commissions on the products you recommend, or do you charge a fee for your advice?"

5. Conflict of Interest

- "Do you have any affiliations or partnerships with financial institutions that could influence your recommendations?"



6. Investment Philosophy

- "Can you describe your investment approach? How do you determine the best investment strategy for clients?"
- What is your plan for protecting my money in down markets?
- Do you manage the investments or do you hire outside managers?

7. Client Profile

- "What is your typical client profile? Do you have experience with clients in similar financial situations as mine?"

8. Performance & Reporting

- "How will you track and report on my investments' performance? How often can I expect to receive updates?"
- Can you share with me the performance history of the investments you are recommending to me, along with changes you have made historically to the investments and how they have held up in good markets and bad markets?

9. Communication and Accessibility

- "How often will we meet to review my financial plan? How accessible are you between those meetings if I have questions or concerns?"

10. Termination & Transition

- "If I decide to end our professional relationship, what is the process? Are there any fees or penalties?"

Remember, these questions are a starting point. Depending on your specific situation and needs, you might have more detailed or specialized questions. Always do thorough research and due diligence before hiring a professional to manage your finances.



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