Sample Considerations in Hiring a Financial Advisor

johnhputnam.com

- **What is your planning philosophy?**
- **What is your investment philosophy?**
- **What services do you provide?**
- **What is your average client profile?**
    - **Age – Occupation - Net Worth - Assets required to be under your management**
- **Are the investment assets at your firm housed with a third-party custodian?**
- **Do you operate in a fiduciary capacity with your clients?**
- **In an average year, how are you compensated?**
    - **Investment advisory fees _____%**
    - **Insurance commissions _____%**
    - **Annuity commissions _____%**
    - **Retirement plan fees _____%**
    - **"Hourly" planning fees _____%**
    - **Other_______________ _____%**
- **Please provide the following information for you and your team:**
    - **Name – Title - Tenure with current firm**
    - **Past experience – Designations - Any regulatory history**
- **How many clients do you personally work with?**
- **How do you integrate your faith into your practice and your guidance?**
- **How often will we meet in person and what is the structure of those meetings?**
- **Are you an owner, or, involved in any other businesses?**

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