Advisor Interview Questions

1. Describe your ideal client
2. How many other clients do you have in my similar age, income, and net worth?
3. Total # of clients?
4. How can I be certain that your interests are aligned with my best interests?
5. Are you a fiduciary?
6. What are specific steps do you implement in my plan and my portfolios to ensure my tax burden is minimized now and in the future?
7. What Professional Designations or advanced degrees/certificates do you have?
8. How many team members will be helping with my specific accounts?
9. How long do you plan to work as a financial advisor?
10. If something were to happen to you tomorrow and you were no longer able to act as my primary advisor what would happen?
11. Do you have a formalized and funded transition plan?
12. Do you have an account minimum?
13. How do you get compensated?
14. Fees only
15. Fees & commissions
16. Retainer
17. Financial Planning costs
18. Tell me your best client win story
19. Tell me your worst client story and why it happened and what you have changed to prevent it from happening again.
20. Are you fully electronic and digital with files storage?
21. What are your typical hours you work?
22. Do you have any complaints?
23. If yes how many?
24. Tell me the findings or outcomes of them
25. Are you autonomous in the investment and insurance offerings you make to clients?
26. How often will we review my plan and investments? How is it coordinated?
27. What are your core values?
28. What makes you/your firm unique? What's your firms' niche?
29. What's your firms' purpose or mission?