Investment Professional: **Date:**

How long have you been offering financial services to clients?

What types of clients do you have (age, income level)?

What's your educational background?

What are your financial services credentials/designations and affiliations?

What is your approach to financial services?

Will you be the only person working with me?

How do you charge for your services?

Have you ever been publicly disciplined for any unlawful or unethical actions in your professional career?

Can I have your financial recommendations in writing?

Do you have a plan in place for when you leave the business?

Can I contact clients for references?

Can I contact professional references?

Other questions: