ADVISOR MATCHMAKING *Guide*

Use these questions to guide your conversations with potential financial advisors. There are no perfect answers—this guide simply helps you think clearly, stay focused, and uncover the best fit for your needs.

FOUNDATIONS

- Why am I considering hiring a financial advisor right now?
- What kind of help do I actually need? (Investment management, financial planning, accountability, tax/estate coordination, etc.)

CREDENTIALS AND EXPERIENCE

- Do they hold rigorous and recognized credentials? (CFP®, CFA®, CPA) ☐ Yes ☐ No
- Can they explain their experience in a way that's relevant to my situation? ☐ Yes ☐ No
- Have they helped clients through multiple market cycles or major life transitions similar to mine? ☐ Yes ☐ No

FIDUCIARY STATUS AND REGISTRATION

- Are they registered as an investment advisor and with which regulator (SEC or state)? ☐ Yes ☐ No
- Can I independently verify their registration? ☐ Yes ☐ No
- Have they explained their legal obligations when giving advice? (Example: Are they always required to act as a fiduciary?) ☐ Yes ☐ No

STRUCTURE AND SUPPORT

- Do they have a team, network, or professional partners support their financial planning, tax, or implementation work? ☐ Yes ☐ No
- Do they have a continuity plan in place if they are unavailable or retire? ☐ Yes ☐ No

FEES AND TRANSPARENCY

- How are they paid and can they explain their fee structure clearly? ☐ Yes ☐ No
- Do I fully understand all fees before signing anything? ☐ Yes ☐ No
- Are their recommendations free from commissions or product-based incentives? ☐ Yes ☐ No

FIT AND COMMUNICATION

- Do they listen carefully and ask thoughtful questions? ☐ Yes ☐ No
- Do I feel comfortable asking them questions? ☐ Yes ☐ No
- Do their explanations make me feel calmer and more confident, not confused? ☐ Yes ☐ No
- Do I trust them enough to discuss personal financial details openly? ☐ Yes ☐ No

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