Financial Advisor Disclosure Form

We have found that this disclosure page can be helpful as you go about your search for a financial advisory relationship, as well as if you are analyzing an existing relationship. As you do so, please consider the following questions carefully, as they can help to illustrate how you would work with a potential advisor. Please be sure to have these questions answered by the advisory firm with whom you are interested in doing business.

Firm Name: ____

1. Are you held to a fiduciary standard in all dealings (covering both retirement <u>and</u> personal assets) with me and my financial affairs?

   Yes________ No________

2. Do you disclose all conflicts of interest, both actual and potential, that exists or might exist in my relationship with you?

   Yes________ No________

3. Do you forego any type of commission-based compensation in favor of receiving all compensation via fees that are fully disclosed in dollar terms?

   Yes________ No________

4. Do you provide full service, comprehensive financial planning services as well as investment advisory services?

   Yes________ No________

5. If you provide full service, comprehensive financial planning services, are these services performed by individuals that have obtained the Certified Financial Planner (CFP®) certification?

   Yes________ No________

I affirm that each of these questions has been answered honestly and truthfully.

____ ________________ ____/____/____

Name of Designated Company Representative *Title* *Date*