

FINANCIAL ADVISOR INTERVIEW QUESTIONNAIRE

Seven questions you should ask any prospective advisor

When interviewing prospective financial advisors, you may use this questionnaire to help guide the discussion. If you have other questions, there is space at the end to help you keep track of the answers.

Prospective Advisor Name: _____

Company: _____

1 HOW ARE YOU ACCREDITED OR REGISTERED?

2 HOW ARE YOU COMPENSATED?

3 WHAT IS YOUR FINANCIAL/ INVESTMENT EXPERIENCE?



RBC Wealth Management
Dominion Securities

4 WHAT KINDS OF PRODUCTS AND SERVICES CAN YOU PROVIDE?

5 WHAT KINDS OF CLIENTS DO YOU SERVE?

6 HOW WILL YOU HELP ME REACH MY GOALS?

7 WHAT KIND OF SERVICE WILL I RECEIVE?

OTHER QUESTIONS:

Feel free to ask follow-up questions once you have had a chance to consider the answers. If you need any clarification on any terms used during your interviews, or if you are unsure about any answers, we would be pleased to assist.