ENDOWMENT WEALTH MANAGEMENT®

Fee-Only Fiduciary Advisors

The following are questions we suggest that you ask a potential financial adviser or wealth manager before deciding if you feel they have earned the right to talk to you about your money:

Questions:	Yes or No	Comments:
1. Do you serve as a fiduciary to your clients?		
2. What Investment Philosophy do you follow?		
3. Do you use a recognized and independent third-party custodian to hold your assets?		
4. How many years have you worked in financial services and in what capacity?		
5. What is your academic training– undergrad and grad school?		
6. Have you earned either your CFA, CFP, CAIA and/or CPA designations?		
7. What kind of continuing education are you engaging in to stay abreast of developments in your field?		
8. Do you prefer active or passive money managers & why?		
9. What fees are your clients charged–all in, from your fee down to embedded fees such as markups on fixed income purchases to management fees on recommended funds and any platform/custodial fees?		
10. Is the fee I am paying the only compensation you receive?		
11. What are the financial consequences of terminating our relationship and selling all of my investments I have made with you? Are there any lockup periods, surrender charges, withdrawal penalties, account closing fees or any restrictions to move my account at any time?		
12. Do you report a client-specific time-weighted return each quarter?		
13. Do you or your firm have a Succession Plan?		

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