

***Advisors' Duties to Clients***

- Will my account(s) be Brokerage \_\_\_\_\_ or Advisory \_\_\_\_\_ in nature (check one)?

Do you accept **fiduciary responsibility** in all aspects of the advisory relationship with me (i.e. will you agree to hold my interests above your own in every event)?

YES \_\_\_\_\_ NO \_\_\_\_\_

- Are you or your firm a Registered Investment Advisor?

YES \_\_\_\_\_ NO \_\_\_\_\_ If YES, **please provide a copy of your ADV Part II.**

***Fees, Commissions & Investment Expenses, Reporting***

- Please indicate your means of compensation:

\_\_\_\_\_ Fee-only

\_\_\_\_\_ Fee-based (i.e. fees plus commissions)

\_\_\_\_\_ Commission-based

\_\_\_\_\_ Other (PLEASE EXPLAIN)

- To the extent that you, your firm, or an affiliate of you or your firm receives commissions, 12b-1 fees, mark-ups or other compensation resulting from my purchase or sale of mutual funds, bonds, equities, insurance or other investment products, are you willing to provide written statements delineating the total dollar amount of any such commissions, fees, mark-ups or otherwise on an ongoing basis?

YES \_\_\_\_\_ NO \_\_\_\_\_ N/A \_\_\_\_\_ (fee-only)

- Can you provide the annual operating expenses of each of the funds that you will recommend? In the event that you are not yet prepared to provide a detailed proposal for portfolio implementation, can you provide an estimate of such annual fund-level expenses?

- On an ongoing basis, will you provide me with written reports identifying my NET investment returns including benchmark indices for comparison purposes?

YES \_\_\_\_\_ NO \_\_\_\_\_

If YES, please indicate frequency \_\_\_\_\_ and **provide report examples:**

**Monitoring Responsibility, Educational Background & Experience**

- Aside from providing periodic account statements and investment performance reports, how frequently will my portfolio allocation be monitored and by whom?

Frequency: \_\_\_\_\_

By whom: \_\_\_\_\_

- Please provide the number of advisory accounts under such monitoring advisor’s direct supervision, the aggregate amount of marketable/liquid investments under direct supervision and the number of years of experience providing financial advisory services:

Advisory accounts: \_\_\_\_\_ Assets under supervision: \_\_\_\_\_ Years: \_\_\_\_\_

- Please provide undergraduate and/or graduate educational background including universities attended and degrees/majors achieved:

\_\_\_\_\_

- Aside from required licenses (e.g. Series 6, Series 7, Series 65), please provide any relevant professional designations (e.g. CFP®, CPA®, CFA)?

**Disciplinary History**

- Have you, or an affiliate of you or your firm, ever been disciplined by the SEC, a state investment or insurance regulator, or other organization (e.g. NASD, FINRA, CFP® Board) or ever been personally involved in an arbitration case?

YES \_\_\_ NO \_\_\_ If YES, please provide details (attach details if necessary):

\_\_\_\_\_  
Name(s) of Prospective Client(s)

\_\_\_\_\_  
Name of Investment Advisor or Broker (please print)

\_\_\_\_\_  
Signature of Advisor or Broker

\_\_\_\_\_  
Firm Name (please print)

\_\_\_\_\_  
Date