Financial Advisor Disclosure Form

This disclosure form is intended to help evaluate a current or new financial advisory relationship and further illustrate expectations in working together.

Firm Name: ____

1) Are you held to a fiduciary standard in all dealings with me and my financial affairs?

   Yes_____ No_____

2) Do you disclose all conflicts of interest, both actual and potential, that exist 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 life planning services as well as investment advisory services?

   Yes_____ No_____

5) If you provide full service, comprehensive financial life 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.

____

Firm Representative Title Date