

ACTIVATE YOUR MONEY

FINANCIAL ADVISOR QUESTIONNAIRE

This questionnaire is more comprehensive than the seven-question version found in *Activate Your Money*. Use either version to interview prospective financial advisors. Prioritize questions that resonate with you, and modify them as needed.

Basic Questions

- Is this firm a broker-dealer, registered investment advisor, or something else?
- Are your advisors fiduciaries?
- Do you receive commissions for any of your services?
- What are the educational and professional credentials of the advisor I will work with? How many years of experience does this advisor have?
- How many assets does your firm have under management?
- What is your minimum investment size?
- How big will my account be relative to other customers you manage?
- What are the services that you offer? How will we work together to set investment objectives, monitor and adjust over time, and evaluate success?
- How often will I receive reports? What type of information will they contain?
- How will you work with my CPA, trust lawyer, and my other financial professionals?
- How do you charge for your services? Will you provide a written agreement outlining services and fees?
- Will we have a discretionary or non-discretionary relationship?
- Do you think your firm is a good fit for my situation and why? Why should I hire you?

Investment Philosophy

- What are your investment beliefs and underlying philosophy? What drives your asset allocation and investment choices?
- Will you help me strengthen, or develop, my investing knowledge and expertise? If so, how will you do this?

Gender Questions

- What is the ownership structure of your firm?
- What percentage of your advisors are women? What percentage of your principals are women?
- Will I be able to work with a female advisor if I would like?

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Values-Aligned Questions

- What is your firm's philosophy in terms of values-aligned investing? How long have you been committed to providing these opportunities to your clients?
- What percentage of your total AUM is invested in a values-aligned manner? How has that percentage changed over the past 3 years?
- Is your firm a B-Corp? Is it a legal benefit corporation? Are you members of US | SIF or any other impact associations or membership groups?
- What percentage of your advisors have values-aligned expertise? How do they learn and maintain their knowledge?
- Are you able to offer me investments that meet both my impact and financial goals across all asset classes? What are some investment examples in each asset class?
- Will I be able to make private debt and private equity investments through your firm? Would you please provide some examples and let me know the minimums?
- Are there specific themes or approaches that drive your values-aligned investment strategy or will I be able to select the themes in which I want to invest?
- Does your firm engage in proxy voting and/or shareholder advocacy? Can you help me vote my proxies and employ my assets to file or co-file on shareholder resolutions?
- How do you measure and report on the social impact of my investments?

Don't forget to ask for references