



# Top 5 Questions to Ask a Financial Professional

- 1** Ask what type of license(s) the financial professional holds and any specialties or focus they have in their practice.
- 2** Ask about information and resources related to the types of products they offer, such as how they are regulated and how they stay up-to-date on industry changes.
- 3** An important part of this process is how prepared you are for your meeting. Ask what documents you need to bring and what the financial professional needs from you to better assess your financial needs and goals.
- 4** Ask about what fees they charge for their services so you know this information upfront.
- 5** References can go a long way and word of mouth is a powerful resource. Ask family and friends for names of financial professionals they have worked with or ask the financial professional for references of clients that have used their services.

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