SHADOWRIDGE
ASSET MANAGEMENT, LLC

QUESTIONS TO ASK A FINANCIAL ADVISOR
From the book “Financial Intelligence” by Doug Lennick

1) What are your most important values?

2) What is the one thing that your clients say most often about you?

3) Can you tell me about a time when a client wanted to make a financial decision that you didn’t think was in their best interest?

4) Can you tell me about a situation in which you made a mistake dealing with a client? How did you handle it?

5) Tell me about how you handle your working relationship with your most difficult client? What do you do that’s different from how you act in your relationship with your favorite client?

6) What services do you personally provide that I might not expect from another advisor?

7) How do you make sure that your clients always know where they stand relative to their financial and life goals?

8) Can you tell me about a situation in which you worked with another professional inside or outside your firm to help meet a client’s needs? Who did you work with and what was your relationship with him or her like?

9) How have you personally responded to market volatility, and how have you communicated your thoughts and feelings about market volatility to clients?

10) What kind of return can you expect if I asked you to manage my investments?

These questions can form the foundation for not only an informative conversation, but also a basis for a meaningful relationship in an important aspect of your life.

These questions can also help you separate the professional financial advisor from the salesperson posing as an advisor.

If you have questions, please contact us!

- Registered Investment Advisor – 1001 S. Capital of Texas Highway, M-100, Austin, Texas 78746
info@shadowridgeinvest.com TF: 888-434-1427 / FX: 512-524-9101