

Fees Questionnaire

1. How is your firm compensated and how is your compensation calculated? (Check and answer more than one if applicable.)

Fee Only (calculation below):

Hourly rate of \$_____/hour

Flat fee of \$_____

Percentage _____%

If paid by a percentage, please attach your fee schedule or include a link to your ADV brochure in the box below.

Commission Only

Paid from securities, insurance, and/or other products that a client may buy from a firm with which you are associated.

Fee and Commissions

What percentage of your clients have the following fee structures?

Fee only

Commissions only

2. Do you have a minimum fee or account size for investment management?

Yes

No

If yes, please include the minimum below and explain.

3. If you offer financial planning services, do you have a minimum financial planning fee?

Yes

No

If yes, please explain.

4. If you earn commissions, approximately what percentage of your firm's commission income comes from the following. (Numbers should total 100%)

___ Insurance products

___ Annuities

___ Mutual Funds

___ Limited Partnerships

___ Stocks and Bonds

___ Other: _____

5. Does any member of your firm act as a general partner, participate in, or receive compensation from investments you may recommend to me?

___ Yes

___ No

6. Do you receive referral fees from attorneys, accountants, insurance professionals, mortgage brokers or other professionals?

___ Yes

___ No

7. Do you receive income from any of the mutual funds that you recommend in the form of loads, 12b-1 fees, trailing commissions, or other continuing payouts?

___ Yes

___ No

If yes, please explain.

8. Are there financial or non-financial incentives for you to recommend certain financial products (including sales inducements such as paid travel for conferences, vacations, other accommodations, etc.)?

___ Yes

___ No

If yes, please explain.
