

## 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.

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**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.

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

Yes

No

If yes, please explain.

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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.

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