**Fiduciary Advisor Comparison Checklist**

|  |  |  |  |
| --- | --- | --- | --- |
| **Attribute** | **Advisor 1** | **Advisor 2** | **Advisor 3** |
| Required to Serve as a Fiduciary |  |  |  |
| Assets Under Management |  |  |  |
| Number of Clients |  |  |  |
| Client Retention Ratio |  |  |  |
| Employee Owned |  |  |  |
| Years in Business |  |  |  |
| Fee-Only: No commission, unbiased advice |  |  |  |
| What is the fee |  |  |  |
| How is the fee collected |  |  |  |
| Investment Advisor Registration Required |  |  |  |
| Financial Planning Credentials of staff |  |  |  |
| Advanced Education/Professional Credentials of Staff |  |  |  |
| Local or National Client base |  |  |  |
| Provides coordination of financial planning and portfolio management |  |  |  |
| Comprehensive Financial Planning |  |  |  |
| Team approach or individual |  |  |  |
| Tax Reporting |  |  |  |
| Investment Policy Statement |  |  |  |
| Quarterly Portfolio Performance Reports |  |  |  |
| Portfolios Managed to Minimize Taxes and Trading Costs |  |  |  |
| Efficient Investment Placement between taxable and tax-deferred accounts |  |  |  |
| Frequent Portfolio Review and Disciplined Rebalancing  |  |  |  |
| Trust Services |  |  |  |
| Who makes investment decisions |  |  |  |
| Client holdings the same as advisor holdings |  |  |  |
| Money Manager Selection to Maximize risk adjusted returns and minimize fees |  |  |  |
| Portfolio Management Software and Tools |  |  |  |
| Provide Clients Access to Institutional Quality Investments with No Sales Commissions and Low Expenses |  |  |  |
| Custom Designed Asset Allocation Strategies |  |  |  |