

# Your Investment Advisor Checklist

## Licenses & Designations:

- Series 7 Registration
- Series 63 or 65 Registration
- Chartered Financial Consultant® (ChFC®)
- Certified Financial Planner® Practitioner (CFP®)

## Training:

- Education: Although a college degree is not required, formal education does enhance the scope of your investment advisor's skills. In particular:
  - Economics - Finance – Business - Portfolio Analysis – Personal Financial Planning

## Experience:

- Minimum: 5 years field experience. Prefer an advisor who has worked through a complete market cycle.

## Resources:

- The information resources they use:
  - Institutional portfolio manager
  - Investment division of large, established insurance company
  - Brain trust group: Trusted advisory group
- Processes: customized or formulaic
- Updates: do they automatically conduct periodic reviews of investment portfolios to ensure proper asset allocation is maintained so you are being rewarded for the risks you're taking?

## Communications:

- Ability to: articulate investment terms and strategies using easy-to-understand methods
- Listener: receptive, patient listener to all your investment needs
- Proactive: do they stay in touch and provide dynamic ideas
- Accessible: easy to get in touch with; responds to calls/request in a timely manner
- Coaching skills: adept at teaching new concepts and sharing new ideas

## Full-Service Capabilities:

- One-stop source to conduct all your financial planning needs. Ex: retirement, investment, tax, estate, insurance, and coordinated planning.

## Performance:

- Customer retention: Do they have the majority of the customers they secured five years ago – today?
- Size: Are they managing a minimum of \$50 million in assets?

## Technology:

- Ability to aggregate client account data
- Capabilities to supply investment updates online
- The technology (like Prosprus™) to demonstrate multiple, instant scenarios
- Sophisticated software portfolio modeling

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