

Sample Financial Advisory Firm Elimination Factors to Consider in the Search for a Financial Advisor for an Individual Investor

Sample Elimination Factors to Consider

1	Firms that are not regulated by the government to provide financial advice
2	Firms already having been fined for selling toxic investments
3	Firms selling commission-based bank products
4	Firms selling commission-based insurance products
5	Firms selling commission-based investment brokerage firm products
6	Firms selling fee-based investment brokerage firm products
7	RIA firms affiliated with a bank
8	RIA firms affiliated with an insurance company
9	RIA firms affiliated with an investment securities brokerage firm
10	RIA firms affiliated with a custodian
11	RIA firms with no experience with individual investors
12	RIA firms with no expertise working with individual investors
13	RIA firms that are NOT CEFEX certified