

## Financial Advisory Firm Elimination Factors to Consider in the Search for a Financial Advisor for a Nonprofit Organization

### Elimination Factors to Consider

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