



are you  
**MoneyWise**



**IndianaMoneyWise.com**  
**800.223.8791**

## QUESTIONS TO ASK



Not all financial professionals are as honest as Abe. Here are some questions to ask before investing.

- 1** What services do you offer?
- 2** What licenses, registrations, qualifications, and experience do you have to offer these services?
- 3** Are you a broker, investment adviser, financial planner, or any combination of the three?
- 4** Can you provide me with your CRD number, and, if not, why not?
- 5** Are you required to always act in my best interest?
- 6** Do you have potential conflicts of interest when providing me with investment advice?
- 7** How are you paid? Explain commissions or fees you may charge.

These questions are not exhaustive, and the answers may raise additional questions to be answered before you decide to entrust someone with your money. You may want to request the answers in writing.

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INDIANA SECRETARY OF STATE  
**Diego Morales**