

Independent Planning Group Inc.

Financial Advisor Checklist

Top 20 Questions to ask when considering changing dealerships

Questions to Ask	Independent Planning Group
1. Are you both a MF Dealership and an MGA?	YES
2. Do you have an experienced transition team?	YES
3. Will you help recruit, train and support new advisors to join my team?	YES
4. Do you support full financial planning & fee for service?	YES
5. At retirement will the company assist me with my succession planning &/or business continuity?	YES
6. Can I operate under my own business name?	YES
7. Do you have an in-house large case specialist?	YES
8. Does your firm offer technology support to both in-house advisors and those working elsewhere?	YES
9. Does the firm offer a client management system with technology support and training?	YES
10. Do you have share ownership opportunities in the firm?	YES
11. Does the company offer a flat fee and grid commission structure?	YES
12. Are there minimum sales quotas?	NO
13. Can the company solicit my clients?	NO
14. Do I have the freedom to choose from over 100 financial institutions and over 5000 products & services?	YES
15. Do you offer full office support including equipment, space and administration at no extra cost?	YES
16. Do you offer a training school and monthly training sessions with CE credits?	YES
17. Will I have tech support for web, email, and client data?	YES
18. Does your company offer annual conferences for advisors and their assistants?	YES
19. Does your company offer products and support for high net worth individuals?	YES
20. Does your company provide online account access for clients?	YES