



QUESTION

ANSWER

Firm

CRD #
Firm Name
Year Established
Corp Structure (*Sole Prop, S Corp, C Corp, LLC, LLP*)
SEC Registration (*Independent RIA, Plan to Register, Broker Dealer, Dual Registered, Other*)
Owners
Advisors
Professionals (*other than owners/advisors*)
Other Staff
BD (*if applicable*)
Custodian (*if applicable*)

Clients

Number of Households
AUM
Average Age
Average Tenure
Average # Added/Year
Average # Lost/Year
% of AUM from top 5 relationships
% Institutional AUM

Revenue

Total Annual Net Revenue (not GDC)
Avg BPS charged
% Recurring Rev
Historical Revenue
 2018
 2017
 2016
Revenue Breakdown (by %):
 Managed Accounts
 Equities/Ind Securities
 MFs/ETFs
 Fixed Income/Debt
 Municipals
 Commodities/Alts
Insurance (Commission and Trails)
Annuities (Commission and Trails)
Financial Planning & Consulting
Other

Expenses

Expenses:
 Employee
 Office Expenses
 Loans or Outstanding Debt
 Other Expenses