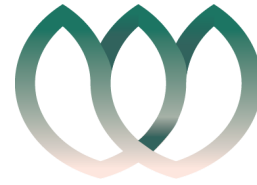




She Can



WORKING WITH A FINANCIAL PROFESSIONAL

You now know how important it is to wisely manage your finances. The questions on the front are designed to help you determine if working with a financial professional would help you reach your financial goals. The questions on the back assist you in your search for the right financial professional.

DO I NEED A FINANCIAL PROFESSIONAL?

Do you need help developing strategies to reach your financial goals or do you simply want suggestions on appropriate investment products to help you implement your goals?

Do you want assistance with a few targeted areas, or do you need a comprehensive plan for your finances?

Do you already have a portfolio of investments you would like help managing?

How involved do you want to be in decisions about your investments?

Do you prefer paying for investment services through a fee, commission, a percentage of assets in your account or a combination?

Do you prefer working with someone who is primarily a salesperson, an adviser or both?

How important is it to you that your provider have a legal obligation to act in your best interests and disclose potential conflicts of interest?

If you need a refresher about saving or investing, the ASC offers free financial education materials that can be found by visiting asc.alabama.gov.

Don't forget, individuals who offer financial advice for a fee must be registered with the Alabama Securities Commission (ASC)! To check their registration call the ASC at 1-800-222-1253. Products sold as investments must be registered with the ASC too. Due diligence means calling to verify the products registration before investing.

FINDING THE "ONE"

So, you've determined that working with a financial professional would be in your best interest. Now what? Call the ASC and make sure they are registered! Don't forget, the right financial professional for someone else may not be the right financial professional for you. Shop around and don't be afraid to ask the tough questions. After all, it is your money.

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PO BOX 304700 MONTGOMERY, AL 36130-4700

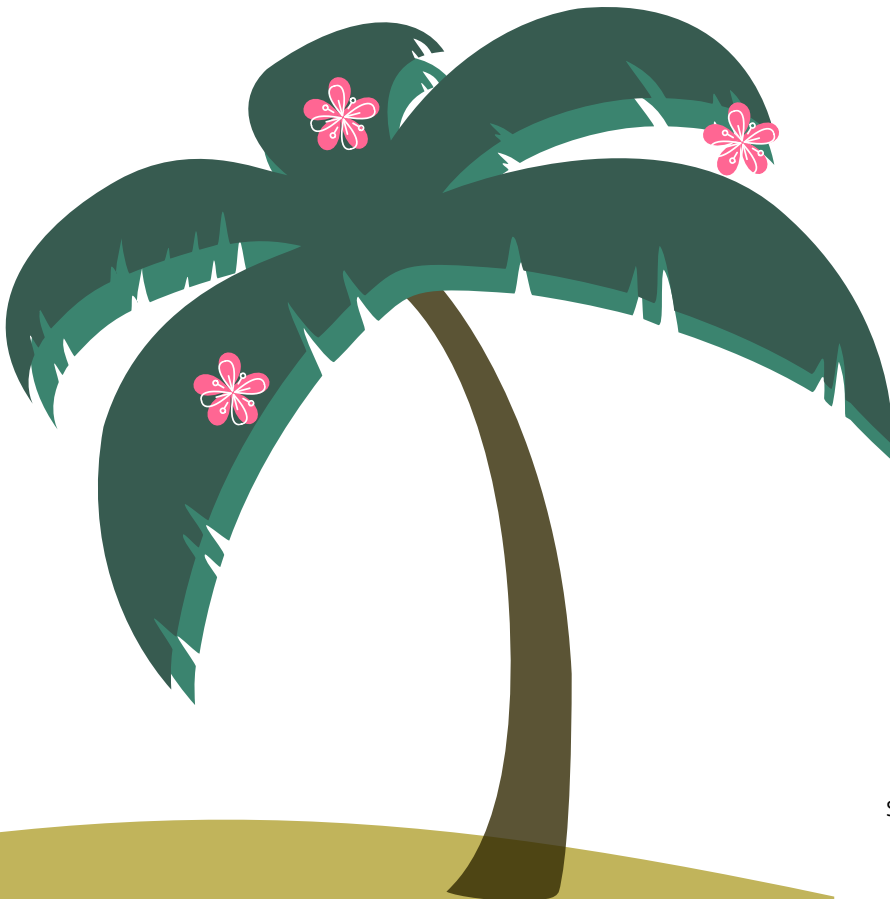
1-800-222-1253 | 334-353-7628

ASC@ASC.ALABAMA.GOV

Facebook: @AlabamaSecuritiesCommission

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Instagram: shecan.alsecuritiescommission



QUESTIONS TO ASK A FINANCIAL PROFESSIONAL

What services do you offer?

What qualifications do you have to offer those services?

How do you charge for those services? Do you receive compensation from other sources if you recommend that I buy a particular stock, mutual fund or bond?

Would my account be an advisory account or a brokerage account?

Are you required by law to always act in my best interests? Will you put that commitment in writing?

What potential conflicts of interest do you have when recommending investment products to me, and will you disclose those conflicts?

Will you provide me with a written record of any disciplinary history for you and your firm and give me your registration form (Form ADV for investment advisers, Form U4 for brokers)?

Special thanks to NASAA for providing this information