

*Key Questions to Ask During Broker Dealer
Due Diligence*

BEYOND THE PAYOUT



ARLINGTON GROUP
THE EVOLUTION OF EXECUTION

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Due Diligence Questions

Advisor Notes

Firm & Vision

What differentiates your firm?

Where is the firm investing?

What type of advisor thrives here?

Transition Support

What does transition look like?

Who supports me?

What challenges should I expect?

Advisor Experience

How are issues escalated?

How accessible is leadership?

How is feedback gathered?

Technology & Operations

Technology platforms?

System integrations?

Support model?

Growth & Practice Management

Growth resources?

Succession support?

Acquisition support?

Economics & Transparency

Costs beyond payout?

How are changes communicated?

What should advisors know?

Category	Rating (1 5)
Culture Fit	☆☆☆☆☆
Transition Support	☆☆☆☆☆
Technology	☆☆☆☆☆
Growth Resources	☆☆☆☆☆
Economics	☆☆☆☆☆
Overall Fit	☆☆☆☆☆

💡 Final Questions

- What are advisors most surprised to learn after joining?
- What do advisors value most about being here?
- If you were evaluating your own firm today, what would you want to know?

Advisor Assessments and Final Considerations