Key Questions to Ask During Broker Dealer Due Diligence

Beyond the Payout

ARLINGTON GROUP

THE EVOLUTION OF EXECUTION

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