



Investment Provider Interview

The following questions may help you gather information and understand the products and services offered by an investment provider. Do not hesitate to ask the provider for more explanation if you are not completely comfortable with the answers.

Provider: _____ Provider Phone#: _____

Provider representative: _____ Date: _____

Services

Advice: Can someone help me determine appropriate investment options?

Education: What kind of education do you provide about your products and investing?

Account access: How do I access my account information (internet, telephone VRU)?

Service issues: If I have a service issue, who do I call?

Periodic review: Will I have the opportunity to periodically review my investments with an investment expert?

Product

Investments: What products (fixed accounts, mutual funds, annuities) do you offer?

Fees: What fees will I pay and how are they reported?

Account Management

Fund changes: May I change my investment mix at any time? How? Is there a cost?

Statements: When will I receive statements? Will you help me read them?

Restrictions: Are there any restrictions for withdrawing my money at separation from employment?

Payments: What payout options will I have?

Notes

Multiple horizontal lines for taking notes.