



EXECUTIVE WEALTH MANAGEMENT  
at Steward Partners

## THE 6 QUESTIONS

To Ask a Financial  
Advisor

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## **1) WHAT PROCESS DO YOU FOLLOW TO IDENTIFY CLIENT'S GOALS AND EVALUATE INVESTMENT PERFORMANCE?**

We follow a very simple and straight forward 4 step process with all of our clients: 1) Identify financial goals and objectives and develop a comprehensive understanding of their needs and objectives through the design and implementation of a comprehensive financial plan 2) When the financial plan is complete, we are able to identify how best to pursue stated goals and objectives, including a determination of an appropriate asset allocation 3) Implement financial recommendations after review and with the client's consent 4) Monitor and Update on an ongoing basis upon stated financial goals and performance

## **2) WHAT ARE YOUR SOURCES OF RESEARCH AND INFORMATION?**

Steward Partners is affiliated with Raymond James & Bank of New York which both offer some of the world's leading financial services, are excellent sources of information for providing due diligence on the many independent money managers that we use for our clients. Steward Partners also has its own, internal due diligence team for customized products and services offered exclusively through our platform.

## **3) HOW OFTEN WILL YOU HOLD A FORMAL REVIEW WITH US?**

We have a 12/4/2 Client Commitment. You will hear from me at least once a month, either through a phone call or e-mail. 4 Times a year we will have a quarterly telephone review of your overall portfolio as well as each individual account. Once or twice a year we will try and arrange an in-person meeting to have a more thorough review.

## **4) ARE YOU AVAILABLE FOR INFORMAL MEETINGS?**

Yes, by appointment. Please contact Tim, Michaelyn, Mike or Ed to schedule a meeting.

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## 5) WHAT'S THE FEE STRUCTURE?

That depends on the investment. Most of the services we provide have asset-based fees. If you pay an asset-based fee you will not be charged commissions on stock trades or loads for mutual funds. Each individual portfolio is different. We also offer traditional commission-based brokerage. We will discuss your fee structure before you are a client.

## 6) DOES YOUR FIRM HAVE A FORMAL DISPUTE-RESOLUTION PROCESS?

This information is provided to you when you signed our client agreement.

David Executive Wealth Management at Steward Partners

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Advisory fees are in addition to the internal expenses charged by mutual funds, exchange traded funds (ETF) and other investment company securities. To the extent that clients intend to hold these securities, the internal expenses should be included when evaluating the costs of a fee-based account. Clients should periodically re-evaluate whether the use of an asset-based fee continues to be appropriate in servicing their needs. A list of additional considerations, as well as the fee schedule, is available in the firm's Form ADV Part 2 as well as the client agreement. Services rendered will be dependent on applicable agreements.

Securities and investment advisory services offered through Steward Partners Investment Solutions, LLC, registered broker/dealer, member FINRA/SIPC, and SEC registered investment adviser. Investment Advisory Services may also be offered through Steward Partners Investment Advisory, LLC, an SEC registered investment

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