

AGENT

Experience

- How long have you been an agent?
- How many firms have you worked for as an agent? Which ones?

Education & Registration

- Where did you attend law school? When did you graduate?
- If you are not a lawyer, what educational degrees have you earned? Where did you earn them? When did you earn them?
- Are you registered as an agent with Valparaiso University?
- Are you registered as an agent in the State of Indiana?
- Are you certified as an agent by any professional league players' associations (e.g., NBPA, MLBPA)?
- Did you take the NFLPA Collective Bargaining Agreement Test? What was your score? If you did not take the test, why not?

Clients & Other Professional References

- How many clients do you currently serve?
- What are your clients' most common investment objectives?
- What is your clients' most common age range?
- What is your clients' most common income range?
- Can you provide me with a list of your current clients?
- Who do you consider to be your top clients?

Business Services Offered

- Do you have ownership interests in your company? (Are you a partner or strictly an employee)
- What services do you provide (e.g., contract negotiations, financial planning, tax advice, etc.)? Do you mind if I use my own accountant or financial planner?
- What skills do you have that make you a good agent?
- Do you have a financial advisor to whom you refer clients? Do you receive fees from them for your referrals?
- Who will be negotiating my contract?
- What have you done to advance the careers of your clients on and off the field?
- Do you provide an annual statement to clients? Can you provide me with an example?
- How do you keep your clients informed of charges? Do you have your clients sign a Power of Attorney? (You don't want to sign an "open" POA, it's too broad.)
- What kind of insurance is provided to players?
- Can you provide me with a projection of my draft status?
- If I am a free agent, how can you help maximize my chances of making a team? Who are some General Managers or Owners that would recommend you?
- Do you have any connections with other professional leagues or professional leagues outside of the United States? How many clients do you have in each of those leagues?
- What sort of "things" are you able to provide for your clients that other agents might not be able to?
- Why should I hire you?

AGENT (continued)

Fees & Expenses

- What is your fee structure for negotiating my contract? Do you take a percentage on the amount you negotiate with the team, or on a flat, automatic salary numbers too? Are you willing to forego on the automatic numbers?
- What is your fee structure for negotiating marketing opportunities, personal appearances, guest speakers and/or autograph sessions?
- Are your fees negotiable?
- How and when are you to be paid? Will you send an invoice?

Agreement w/ Agent (or Advisor)

- What is the duration of the agreement? Is that negotiable? What are the renewal terms of the agreement? Is it an automatic renewal? Does it renew on the same or different terms?
- What are the procedures for terminating the agreement? Under what terms can a contract be terminated?
- What happens to the agreement if I do not make the team; if I am waived; or if I get injured?

Disputes & Issues

- How many clients have you lost and what were the reasons for leaving? Can you provide me with their phone numbers?
- Have you ever had a dispute with a client and if so, how was it resolved?
- Have you ever been disbarred, suspended, reprimanded, censured, or otherwise disciplined or disqualified as an attorney or as a member of any other profession?
- Are you currently involved, directly or indirectly, in any regulatory investigation or action, customer complaint, civil litigation or criminal proceeding?
- Have you ever been investigated or found guilty for any violations of NCAA or Professional league rules? If so, when and what were the charges?

FINANCIAL ADVISOR

Experience

- How long have you been offering financial planning or investment advisory services?
- How many firms have you worked for as an advisor or planner? Which ones?

Education & Registration

- What educational degrees have you earned?
- How long have you been registered as an investment advisor or representative?
- What licenses or professional designation are you eligible to use?

Clients & Other Professional References

- How many clients do you currently serve?
- What are your clients' most common investment objectives?
- What is your clients' most common age range?
- What is your clients' most common income range?
- Will you provide me with references from clients?

Business Services Offered

- Which financial services do you provide?
- Will you provide a written analysis of my particular financial situation and recommendations?
- Do you recommend specific investment products?

Fees & Experiences

- How are you compensated?
- How is your compensation calculated?

Disputes & Issues

- Has any court ever entered a judgment against you in connection with any investment-related activity?
- Have you ever been involved in an arbitration proceeding that was settled or decided against you?
- Have you ever been the subject of an order issued by a regulatory agency or organization?
- Have you been discharged or permitted to resign because you were accused of violating industry standards or investment-related statutes?
- Are you currently involved, directly or indirectly, in any regulatory investigation or action, customer complaint, civil litigation or criminal proceeding?