

Financial Advisor Interview Questionnaire

1. Why did you become a financial planner?

2. What is your educational and experiential background as it relates to personal financial planning?

3. What are your financial planning credentials/designations and affiliations?

- a. CERTIFIED FINANCIAL PLANNER™ Professional
- b. CPA/Personal Financial Specialist (CPA/PFS)
- c. NAPFA-Registered Financial Advisor
- d. NAPFA-Provisional Member
- e. Chartered Financial Consultant (ChFC)
- f. Certified Public Accountant (CPA)
- g. Chartered Financial Analyst™ (CFA)
- h. Other (i.e. MBA, JD, EA, CLU, RFC): _____

4. What are your areas of specialty?

5. Please describe your most common engagement / service provided? And the type of client or client situation you target?

6. Are you a registered representative of any broker/dealer? _____
Are you a licensed insurance agent with any company or agency? _____
If so, which one(s)? _____

7. Are you a registered investment adviser? _____ with the SEC? _____ or State(s) of:

8. Are you a fiduciary? _____

9. How are you compensated?

a. Fee-Only, please define method of determining fees:

b. Commissions only:

c. Fee and Commissions (fee-based), provide typical breakdown:

d. Other:

10. Do you have minimums for assets, account size, annual fees paid, etc? And what is your typical fee or charge for an initial engagement?

11. Do you provide a written agreement detailing the total amount of compensation and services that will be provided in advance of an engagement?

12. Do you provide a thorough written analysis of one's financial situation and recommendations?

13. Do you offer assistance with implementation with the plan? Please elaborate.

14. Will you provide a second opinion or one time review?

Signature of Planner: _____ Date: _____

Firm Name: _____