

## Financial Advisor Interview Questionnaire

Why did you become a financial planner?

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

What are your financial planning credentials/designations and affiliations?

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

What are your areas of specialty?

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

Are you a registered representative of any broker/dealer?  Yes  No

Are you a licensed insurance agent with any company or agency?  Yes  No

If so, which one(s)?

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

Are you a fiduciary?

How are you compensated?

Fee-Only, please define method of determining fees:

Commissions only:

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

Other:

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

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

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

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

Will you provide a second opinion or one time review?

Signature of Planner:

Date:

Firm Name: