

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 or designations and affiliations?

- Certified Financial Planner (CFP[®])
- 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 (such as MBA, MS, PhD, AIF[®], CDFP, JD, EA, CLU, RFC): _____

4. What are your areas of specialty?

5. Please describe your most common engagement or service provided. And what is 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 advisor? With the SEC? Or with what state(s)?

8. Are you a fiduciary?

9. How are you compensated?

Fee-only, please define method of determining fees:

Commissions only:

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

Other:

10. Do you have minimums for assets, account size, annual fees paid, and so on? 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 Advisor or Planner: _____ †† Date: _____ ††

Firm Name:

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