

## 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?

- 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): \_\_\_\_\_

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: \_\_\_\_\_