

Financial Advisor Interview Questionnaire – Page 1 of 3

Name of Planner: _____ Date: _____

Firm Name: _____

1. Why did you become a financial planner?

2. What is your educational background and experience 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. Are you a Fiduciary? (The advisor personally, not just someone in the firm.) _____
If they aren't a fiduciary, there is probably a conflict of interest. Beware!

5. What are your areas of specialty?

6. Please describe your most common engagement / service provided and the type of client you target?

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7. 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)?

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

9. How are you compensated? Please provide a copy of your ADV Part II.

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?

Financial Advisor Interview Questionnaire – Your Thoughts - Page 3

Name of Planner: _____ Date: _____
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Questions you should ask yourself about the advisor:

:

1. Do I trust this person? **(This is the single most important question in choosing an advisor.)**

2. Do I have a good rapport with this person—am I willing to share my personal financial details with them?

3. Do they have any conflicts of interest? Are they a Fiduciary and really represent my interests?

4. Will they take time to get to know me and accurately assess what I need?
