

Financial Advisor Interview Questionnaire

Advisor Name:
Company Name:
Date:

Why did you become a financial planner?

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

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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?

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

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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)?*

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* This is a clear and simple way to know whether an advisor has a potential conflict of interest in the investment advice being provided to you.

Are you a registered investment advisor? With the SEC? or State(s) of: **

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Are you a fiduciary? yes no

How are you compensated?

Fee-Only, please define method of determining fees:

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Commissions Only

Fee and Commissions ("fee-based"). Provide typical breakdown:

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Other

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Do you have minimums for assets, account size, annual fees paid, etc.? yes no

What is your typical fee or charge for an initial engagement?

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Please describe briefly your approach to investing. Are there any particular philosophies or strategies that you prefer to implement for your clients?

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What sorts of investment vehicles do you typically employ in client portfolios (mutual funds, stocks, individual bonds, etc.)? Are they publicly traded securities that I can easily research on Morningstar.com and other financial websites?

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**A registered investment advisor is required by law to put their client's best interests ahead of their own. This is not necessarily the case for those advisors who are not registered investment advisers.

Do you provide a written agreement detailing the total amount of compensation and services that will be provided in advance of an engagement? yes no

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Do you provide a thorough written analysis of one's financial situation and recommendations? yes no
Do you offer assistance with implementation of the plan? Please elaborate.

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Will you provide a second opinion or one time review? yes no

Signature of Planner

Date

Name of Firm