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?

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? ________

7. ARE YOU A LICENSED INSURANCE AGENT WITH ANY COMPANY OR AGENCY? ________
   IF SO, WHICH ONE(S)?

8. ARE YOU A REGISTERED INVESTMENT ADVISER? ________

9. ARE YOU A FIDUCIARY? ________

10. HOW ARE YOU COMPENSATED?

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11. DO YOU HAVE MINIMUMS FOR ASSETS, ACCOUNT SIZE, ANNUAL FEES PAID, ETC? AND WHAT IS YOUR TYPICAL FEE OR CHARGE FOR AN INITIAL ENGAGEMENT?

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12. DO YOU PROVIDE A WRITTEN AGREEMENT DETAILING THE TOTAL AMOUNT OF COMPENSATION AND SERVICES THAT WILL BE PROVIDED IN ADVANCE OF AN ENGAGEMENT?

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13. DO YOU PROVIDE A THOROUGH WRITTEN ANALYSIS OF ONE'S FINANCIAL SITUATION AND RECOMMENDATIONS?

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14. DO YOU OFFER ASSISTANCE WITH IMPLEMENTATION WITH THE PLAN? PLEASE ELABORATE.

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15. WILL YOU PROVIDE A SECOND OPINION OR ONE TIME REVIEW?

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