

Financial Planner Interview	Planner 1	Planner 2
Competence		
In what area of study is your undergraduate degree?		
In what area of study is your graduate degree?		
What financial planning designations do you hold? <ul style="list-style-type: none"> • Certified Financial Planner (CFP)[®] • Certified Public Accountant/Personal Finance Specialist (CPA/PFS) • Chartered Financial Consultant (ChFC) • Other 		
How long have you been offering financial planning services?		
How many hours of financial planning continuing education do you receive each year?		
Are you a member of any professional financial planning associations? <ul style="list-style-type: none"> • National Association of Personal Financial Advisors (NAPFA) • Financial Planning Association (FPA) • Other 		
Will you provide me with references from current clients?		
Have you ever been cited by a professional or regulatory governing body for disciplinary reasons?		
Who will be working with me – you or an assistant? (Review above qualifications if assistant.)		
Scope of Services		
How many of the following services do you provide?		
<ul style="list-style-type: none"> • Goals Clarification and Review 		
<ul style="list-style-type: none"> • Cash Management and Budgeting 		
<ul style="list-style-type: none"> • Tax Preparation 		
<ul style="list-style-type: none"> • Tax Planning 		
<ul style="list-style-type: none"> • Audit Protection 		
<ul style="list-style-type: none"> • Estate Planning 		
<ul style="list-style-type: none"> • Complete Insurance Review (life, health, disability, property & casualty) 		
<ul style="list-style-type: none"> • Investment Review and Recommendations 		
<ul style="list-style-type: none"> • Implementation Assistance 		
<ul style="list-style-type: none"> • Business Planning 		
<ul style="list-style-type: none"> • Special Needs Planning 		
Will you provide me with a written financial plan?		
Will you recommend specific investments or investment products?		
Will you offer continuous advice regarding my financial affairs?		
Do you take possession of, or have access to, my assets?		

How much money do I need to start a financial program?		
At what brokerage firm(s) must my accounts be held?		
Compensation		
How are you compensated? <ul style="list-style-type: none"> • Fee-Only • Commission-Only • Fee and Commission • Fee Offset 		
How is your compensation calculated? <ul style="list-style-type: none"> • Fee-only: do you receive a retainer, a percentage of assets, an hourly rate, or other? • Commission: what percentage of your income comes from commissions on a) insurance, b) annuities, c) mutual funds, d) limited partnerships, e) stocks & bonds, f) coins, tangibles, collectibles, g) other • Fee and commission: are your fees capped? • Fee offset: if commissions exceed the fee, is the balance credited to me? 		
Will you, or will anyone else in your office, receive any commissions or other compensation as a result of investments you recommend to me?		
Are your fees tax-deductible?		
Compliance		
Are you a Registered Investment Advisor with the US Securities and Exchange Commission and/or with the appropriate regulatory authorities in this state? What is your file number?		
If no, under what allowable exception?		
Notes & Other Questions		