

## ***Financial Advisor Interview Questionnaire***

1. Why did you become a financial planner? ***I enjoy helping people achieve their financial goals.***
2. What is your educational and experiential background as it relates to personal financial planning? ***I am a CERTIFIED FINANCIAL PLANNER™ professional. To maintain certification, CFP® practitioners are required to satisfy ongoing ethics and education requirements. I have advised clients since 1997. Before entering the financial planning profession, I served in the Air Force as a financial analyst. I am a distinguished graduate of the United States Air Force Academy, graduating with both academic and military honors. I also have a Masters in Public Sector Financial Management from the University of Maryland.***
3. What are your financial planning credentials/designations and affiliations?
  - ***CERTIFIED FINANCIAL PLANNER™ Professional***
  - ***NAPFA-Registered Financial Advisor***
  - ***Garrett Planning Network – Member***
4. What are your areas of specialty? ***Comprehensive financial planning, informal planning sessions, check-ups and second opinions, retirement funding analysis and strategies, investment portfolio design and review, education funding analysis and advice, employee benefits analysis and advice, company retirement and 401(k) plan advice, cash management and budgeting services, insurance needs analysis and review, estate planning review and guidance, and long-term care planning.***
5. Please describe your most common engagement/service provided? And the type of client or client situation you target: ***Comprehensive planning and informal planning sessions are the most common engagements. Services are available to anyone on an hourly, as-needed basis.***
6. Are you a registered representative of any broker/dealer? ***No.*** Are you a licensed insurance agent with any company or agency? ***No.***
7. Are you a registered investment adviser? ***Yes.*** With the SEC? ***No.*** or State? ***Yes – Illinois.***
8. Are you a fiduciary? ***Yes.***
9. How are you compensated? ***Fee-Only – Hourly.***
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? ***There are no minimums. Cost is based on time spent. The hourly rate ranges from \$150 to \$240/hr. A comprehensive plan usually takes 9 to 14 hours, while an informal planning session is between 1 ½ and 3 hours in length.***
11. Do you provide a written agreement detailing the total amount of compensation and services that will be provided in advance of an engagement? ***Yes.***
12. Do you provide a thorough written analysis with recommendations? ***Yes, except for the informal planning sessions, which produce an action plan/to-do list.***
13. Do you offer assistance with implementation with the plan? ***Not usually.***
14. Will you provide a second option or one time review? ***Yes.***