FINANCIAL PLANNER INTERVIEW
How to Choose a Financial Planner
Tough Questions to Ask

THIS FORM WAS CREATED BY THE NATIONAL ASSOCIATION OF PERSONAL FINANCIAL ADVISORS (NAPFA) TO ASSIST CONSUMERS IN SELECTING A PERSONAL FINANCIAL PLANNER. IT CAN BE USED AS A CHECKLIST DURING AN INTERVIEW OR SENT TO PROSPECTIVE PLANNERS AS A PART OF A PRELIMINARY SCREENING. NAPFA RECOMMENDS THAT INDIVIDUALS FROM AT LEAST TWO DIFFERENT FIRMS BE INTERVIEWED.

BACKGROUND & EXPERIENCE

The backgrounds of financial planners can vary as much as the services offered. The planner's education and experience should demonstrate a solid foundation in financial planning and a commitment to keeping current. In addition to the following questions, ask the planner to describe his or her specific financial planning work experience.

1. What is your educational background?
__X__ College degree
Area of study: **BA - Anthropology**
__X__ Graduate degree
Area of study: **MA - International Development**

Plus two-year certificate program - College for Financial Planning.
(Certified Financial Planner education Program.)

Financial planning education and designations:
__X__ Certified Financial Planner™ (CFP™)
_____ Chartered Financial Consultant (ChFC)
_____ CPA/PFS
_____ Other

2. How long have you been offering financial planning services?
_____ Less than 2 years
_____ 2-5 years
__X__ More than 5 years

3. What continuing education in financial planning do you pursue?
_____ 1-14 hours of professional education each year
_____ 15-30 hours of professional education each year
__X__ At least 30 hours of professional education each year

4. Are you a member of any professional financial planning associations?
_____ Financial Planning Association (FPA)
__X__ National Association of Personal Financial Advisors (NAPFA).
_____ Other:

5. Will you provide me with references from clients? _____ Yes __X__ No

6. Have you ever been cited by a professional or regulatory governing body for disciplinary reasons?
_____ Yes __X__ No

7. Will you, or an associate work for me?
I will personally recommend actions that address your financial situation and goals.

8. If an associate will work with me or assist you, please complete questions 1-6 for the associate as well.

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