

# Checklist *for interviewing a Financial Planner*

Planner Name: \_\_\_\_\_

Company: \_\_\_\_\_

Address: \_\_\_\_\_

Phone: \_\_\_\_\_

1. Do you have experience in providing advice on the topics below? If yes, indicate the number of years.

Retirement Planning \_\_\_\_\_

Investment Planning \_\_\_\_\_

Tax Planning \_\_\_\_\_

Estate Planning \_\_\_\_\_

Insurance Planning \_\_\_\_\_

Integrated Planning \_\_\_\_\_

Other \_\_\_\_\_

2. What are your areas of specialization? What qualifies you in this field?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

3. A) How long have you been offering financial planning advice for clients? \_\_\_\_\_

B) How many clients do you currently have? \_\_\_\_\_

4. Briefly describe your work history

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5. What are your educational qualifications?

Certificate		Undergraduate study		Post graduate diploma	
Advanced Post graduate diploma					

Other: \_\_\_\_\_

6. What financial planning designation(s) or certification(s) do you hold?

CFP®		AFP®		RFP®	
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Other: \_\_\_\_\_

7. What financial planning continuing education requirements do you fulfil? \_\_\_\_\_ hours, every \_\_\_\_\_.

8. A) Are you personally licensed or registered as a representative?

Yes		No	
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If no, why not? \_\_\_\_\_

B) Are you or your firm licensed with the FSB?

Yes		No	
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If yes, provide FSB license nr \_\_\_\_\_

C) Will you provide me with your disclosure document?

Yes		No	
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If no, why not? \_\_\_\_\_

9. What services do you offer?

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10. Describe your approach to financial planning?

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11. A) Who will work with me?

Planner		Associates	
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B) Will the same individual(s) review my financial situation?

Yes		No	
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If no, who will? \_\_\_\_\_

12. How are you paid for your services?

Fee		Commission		Fee and commission		Salary	
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Other: \_\_\_\_\_

13. A) What do you typically charge?

Hourly rate	R	Flat fee	R to R	% of assets under management	%
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B) Commission:

What is the approximate percentage of the investment or premium you receive on:

Stocks	%	Bonds	%	Mutual funds	%
Annuities	%	Insurance products	%	Other	%

14. A) Do you have a business affiliation with any company whose products or services you are recommending?

Yes		No	
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Explain: \_\_\_\_\_

B) Is any of your compensation based on selling products?

Yes		No	
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Explain: \_\_\_\_\_

C) Do professionals and sales agents to whom you may refer me send business, fees or any other benefits to you?

Yes		No	
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Explain: \_\_\_\_\_

D) Do you have an affiliation with a broker/dealer?

Yes		No	
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E) Are you an owner of, or connected with, any other company whose services or products I will use?

Yes		No	
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Explain: \_\_\_\_\_

15. Do you provide a written client engagement agreement?

Yes		No	
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If no, why not? \_\_\_\_\_