



## Financial Advisor Questionnaire

Provided by Comprehensive Financial Planning Services Co, Inc.

Thank you for inquiring about the services offered by our company. We have found this questionnaire to be helpful in your search for a financial advisory relationship, or in evaluating your existing relationship. The questionnaire illustrates how we would work together.

Firm Name: \_\_\_\_\_ Date: \_\_\_\_\_

1. Are you held to a fiduciary standard in all dealings with me and my financial affairs? In other words, are you bound to always act in my best interest?

Yes \_\_\_\_\_ No \_\_\_\_\_

2. Do you forego any type of commission based compensation in favor of receiving all compensation from fees that are fully disclosed up front in dollar terms?

Yes \_\_\_\_\_ No \_\_\_\_\_

3. Do you provide full service, comprehensive financial planning services as well as investment advisory services?

Yes \_\_\_\_\_ No \_\_\_\_\_

4. If you provide full service comprehensive financial planning services, is this performed by individuals that have obtained the Certified Financial Planner (CFP®) certification?

Yes \_\_\_\_\_ No \_\_\_\_\_

5. Can you provide me with a written disclosure detailing any disciplinary history for you and your firm?

Yes \_\_\_\_\_ No \_\_\_\_\_

6. Do you disclose all conflicts of interest, both actual and potential that exist or may exist in my relationship with you?

Yes \_\_\_\_\_ No \_\_\_\_\_

7. If yes to number six, how do you disclose actual and potential conflicts of interest to me? \_\_\_\_\_

I affirm that each of these questions has been answered honestly and truthfully.

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_  
Name of designated company representative Title Date