KELLY
FINANCIAL PLANNING, LLC

Financial Advisor Interview Questionnaire

BACKGROUND & CREDENTIALS

Why did you become a financial planner?

What is your educational and experiential background as it relates to personal financial planning?

What are your financial planning credentials/designations and affiliations?

- ☐ CERTIFIED FINANCIAL PLANNER™ Professional
- ☐ Chartered Financial Consultant (ChFC)
- ☐ CPA/Personal Financial Specialist (CPA/PFS)
- ☐ Certified Public Accountant (CPA)
- ☐ NAPFA-Registered Financial Advisor
- ☐ Chartered Financial Analyst™ (CFA)
- ☐ NAPFA-Provisional Member
- ☐ Other (i.e. MBA, JD, EA, CLU, RFC):

What are your areas of specialty?

Please describe your most common engagement/service provided? And the type of client or client situation you target?

REGISTRATIONS & LICENSING

Are you a registered representative of any broker/dealer?

☐ Yes ☐ No

Are you a licensed insurance agent with any company or agency? If so, which one(s)?

☐ Yes ☐ No

Are you a registered investment adviser?

☐ with the SEC? ☐ or State(s) of:

Are you a fiduciary?

COMPENSATION & FEES

How are you compensated?

☐ Fee-Only, please define method of determining fees:

☐ Commissions only:

☐ Fee and Commissions (fee-based), provide typical breakdown:

☐ Other:

Do you have minimums for assets, account size, annual fees paid, etc? And what is your typical fee or charge for an initial engagement?

SERVICES & DELIVERABLES

Do you provide a written agreement detailing the total amount of compensation and services that will be provided in advance of an engagement?

Do you provide a thorough written analysis of one's financial situation and recommendations?

Do you offer assistance with implementation with the plan? Please elaborate.

Will you provide a second opinion or one time review?

Name of Planner: **Date:**

Firm Name:

DISCLOSURES

Kelly Financial Planning is a fee-only, independent Registered Investment Advisory firm. The firm may transact business only in the State of Ohio, where it is currently registered, or in States, which it is exempted from registration.

All information contained in this form concerning investments is for informational purposes only and does not constitute a solicitation or offer to sell securities or investment advisory services.

PRIVACY POLICY

As an independent financial planning firm, Kelly Financial Planning, LLC ("KFP") is committed to safeguarding the confidential information of all current, former, and potential clients. KFP holds all personal information provided to our firm in the strictest confidence.

We do not disclose personal information to non-affiliated third parties, except as required by law or with the client's written consent. If KFP were to change its policy, KFP is required to inform the client first before making any change.

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