

## Financial Advisor Interview Questionnaire

1. Why did you become a financial planner?

I have over 25 years experience as a business and marketing executive in high-technology industries. I truly enjoy working with and helping people on a one-on-one basis, and have always enjoyed learning the financial world both personally and professionally. I started my own practice to offer Fee-Only financial planning help with the integrity that I value, and with a relationship with clients that provides me the satisfaction of helping them reach their goals.

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

I am a CERTIFIED FINANCIAL PLANNER™ professional and have six years experience in my practice helping middle-Americans achieve their goals. I completed the College for Financial Planning curriculum, have an MBA degree from the University of Southern California, and gained valuable business and financial experience in my business management roles.

3. What are your financial planning credentials/designations and affiliations?

- a. CERTIFIED FINANCIAL PLANNER™ Professional
- b. NAPFA-Registered Financial Advisor
- c. CTEC-registered tax preparer
- d. Member of Garret Planning Network
- e. Member of Financial Planning Association
- f. MBA degree from USC; MSEE degree from Stanford; BS Physics and Math from New Mexico Tech

4. What are your areas of specialty?

I provide retirement planning and income management, investment review and recommendations, cash flow and debt management review, college funding plans, estate planning and insurance coverage review, employee benefit recommendations, and other financial advice as requested.

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

The typical client for an initial engagement requests help in planning for a secure retirement, review of their investments, and perhaps a college funding plan. The engagement may also include a review of the adequacy of their insurance coverage, estate plan, income taxes, and cash flow situation.

6. Are you a registered representative of any broker/dealer? NO

Are you a licensed insurance agent with any company or agency? NO

I have no affiliation with any broker/dealer or insurance company.

7. Are you a registered investment adviser? YES State(s) of: California

I am a registered Investment Advisor in the state of California.

8. Are you a fiduciary? YES.

I am a fiduciary to my clients and am obligated to put their interests first. This is an obligation that I have as a Registered Investment Advisor and a member of NAPFA.

9. How are you compensated?

a. Fee-Only, please define method of determining fees:

I am compensated only by fees paid by my clients. Billing is on an hourly or project basis, and a fee quote is provided prior to the client's agreement for the engagement.

b. Commissions only: NONE

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

d. Other:

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?

I have no minimum for assets or income. My services are available to anyone who needs objective advice.

Initial engagements to address several planning areas are typically in the \$1500 to \$3000 range, but may vary considerably depending on the complexity of the issues to be addressed.

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

A written client service agreement is provided and signed by both parties, which includes the fees and services to be provided.

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

A thorough written report with recommendations is provided for all engagements, other than brief "financial check-ups". This report includes an action item checklist to guide clients in implementing the recommendations.

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

Clients can generally implement recommendations, with questions answered as needed. Additional assistance is available if needed.

14. Will you provide a second opinion or one time review?

I am happy to offer a second opinion or a one-time review to help clients with their financial decisions.

Signature of Planner: \_\_\_\_\_



Date: April 16, 2010

Firm Name: Mayes Financial Planning