

Financial Advisor Interview Questionnaire

1. Why did you become a financial planner?

I became a financial planner to be an advocate for my clients because I believe that everyone should have access to competent and objective advice. My personal goal is to provide clarity that helps my clients discover a path to financial freedom. Also, I founded my own independent practice to be absolutely free of conflict of interest.

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

I am a CERTIFIED FINANCIAL PLANNER™ Practitioner and have spent over 35 years in investments, securities brokerage and financial services. My undergraduate degree is in Economics and Business. I have extensive experience in financial and investment management. I was a registered broker for 25 years and I have held the following NASD licenses: 7, 8 and Series 63 and 65. I have completed the certification program in Personal Financial Planning at Marquette University. I am licensed by the State of Wisconsin to provide advice for Property, Life, Accident and Health Insurance.

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

I AM A CERTIFIED FINANCIAL PLANNER™ Professional and Chartered Retirement Planning CounselorSM. I am a member of the Garrett Planning Network, National Association of Person Financial Advisers (NAPFA), Financial Planning Association.

4. What are your areas of specialty?

Our areas of specialization are investment planning, retirement planning and cash flow analysis. We develop investment strategies based upon analysis and a disciplined process. We emphasize risk reduction through diversification and provide specific recommendations for reducing expenses and improving tax efficiency.

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

We work with individuals and couples who have a broad range of planning needs. We provide clients with a road map that produces goal clarity and a sense of direction and control over your financial future. Our most common engagements are in three areas:

- Retirement capital needs analysis to determine if resources will match longevity.
- Investment analysis and recommendations to reduce risks and improve performance.
- Plans for dealing with competing objectives such as college funding vs. retirement.

We specifically target clients who are looking for objective analysis and are willing to make a commitment to take control of their financial future.

6. Are you a registered representative of any broker/dealer? NO. We have no affiliations that will produce a conflict of interest.

**Are you a licensed insurance agent with any company or agency? NO
If so, which one(s)?**

I am licensed by the State of Wisconsin so that I can provide advice, but I do not sell insurance.

7. Are you a registered investment adviser? Yes – State of Wisconsin

8. **Are you a client Fiduciary?** Yes

9. **How are you compensated?**

- a. **Fee-Only, please define method of determining fees:** Our only compensation comes from our clients. We do not accept referral fees from any source.
- b. Commissions only: **N/A**
- c. Fee and Commissions (fee-based), provide typical breakdown: **N/A**
- d. Other: **N/A**

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?**

We have no minimum fees or asset requirements. Fees will depend upon the complexity of the analysis and the amount of time involved in meeting with you in person or over the phone, researching and analyzing your current situation, and providing specific recommendations and implementation assistance (if appropriate) at a rate of \$225 per hour.

Financial planning fees are determined on a project basis; the total fee for a financial plan will vary from client to client based on the specific needs and complexity of your situation with projects typically ranging from 5 to 10 hours of work. An estimate is provided after the Get Acquainted Meeting, when your personal needs are fully identified.

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

Yes

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

Yes, and we provide a sample of my work product during our Get Acquainted Meeting.

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

Once your financial plan is complete, you determine how much ongoing assistance you want with implementation and investment monitoring. As part of each engagement we are available to answer questions about the plan and to provide guidance about implementation.

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

Absolutely.

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