

The Seven Cs Financial Adviser Profile

Confidential

Requested by:

Telephone #:

Email:

Date requested:

Adviser Firm Information:

Firm Name:

Adviser Name:

Street Address:

City:

State:

Zip:

Telephone Number:

Email:

Website Address:

Information About Your Practice:

Are you accepting new clients: Yes No Minimum investable assets: \$

Minimum client age: Number of current client families:

Assets under management: \$

Number of financial plans you produced and delivered last year:

Information about you (Adviser):

Your Age: under 30: 30-40: 40-50: 50-60: over 60:

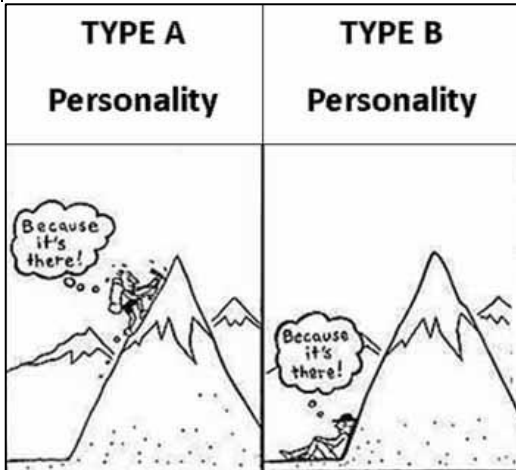
Years of industry experience:

Years until retirement from this position:

Character

Choose the personality traits that best describe your interaction with clients:

Check all that apply:



A	Type	B
Competitive		Relaxed
Time Urgent		Patient
Energetic		Easy-going
Reactive		Reflective
Multi-tasker		One thing at a time
Rabbit		Turtle

Potential Conflicts of Interest:

Professional/business:

Personal:

Where are these conflicts publicly disclosed?

Fiduciary Pledge:

Commitment

Employment Experience:

Professional Designation(s):

Industry Recognition(s):

What is your greatest challenge in helping your clients achieve their goals? And, how do you assist your clients in overcoming these obstacles of success?

How do you ensure that client commitments are kept toward achieving retirement goals?

What specific process is followed to make sure homework assignments are completed on time?

How do you assure clients that you will remain as committed their goals as they are?

What continuing education programs do you make available to your client families?

How are continuing education programs delivered? Classroom: Internet: Newsletter:

Communication

Explain in your own words the retirement planning process used with clients:

Is a written financial plan offered? Yes No If yes, how is it delivered to the participant?

Printed copy: Electronic file: Both: If electronic, what capabilities are available to view the plan remotely?

How and when will investment account statements and other financial planning communications be communicated? Electronic Mail: Both: Are investment statements and transaction summaries sent directly from a third-party custodian?

Yes: No:

Advisor Investment Trading Discretion? Yes: No: Optional:

How are costs for services communicated? Verbal: Written: Both:

Has there been a breach of security in the past for you or your firm? Yes: No: If yes, what was the result of the investigation and what steps have been taken to deter further breaches of personal information?

Was a local police report filed? Yes: Date of report No:

Comments:

Who handles routine daily client communications:?

What is your typical weekly work schedule and availability to clients?

Do you service clients out of state? Yes: No:

What states are you registered to conduct business? :

Competence

Why did you choose this profession?

Are you a specialist? If yes, what is your specialty?

Why do you consider yourself a specialist in this area?

Why are you the best choice for someone considering your services?

Connections

Who are you professionally connected with? Check all that apply:

CPA /Income Tax Prep: Real-estate Mortgage Professional: Estate Attorney: Health Care Insurance Professional: Other:

If you leave your profession or are unable to perform your duties for an extended period, who will take your place?

Do you have a succession plan? Yes: No: If yes, what is it? If no, why not?

Comprehensiveness

What services do you provide? Check all that apply:

Retirement life planning goals

A statement of current net worth

Essential and non-essential expense/budget report

Statement of retirement planning assumptions

Retirement cash flow report by year

Investment plan management

Insurance planning (all areas, not limited to life and/or long-term care insurance)

Tax planning – including an investment distribution prioritization exercise

Estate planning - Will/Power of Attorney/ Medical Directive/ Trust/ Gifting / Direct beneficiary review

Other:

What is the name of the software program you use to produce financial plans for your clients?

Why do you or your firm use this particular program?

Is it available to clients online? Yes: No:

Compensation

How are you/firm compensated?

Commission: Fee only: Fee Based (Fee & Commission): Hourly: Subscription:

Flat Fee: Other:

Other costs:

Transaction charges: Annual custodian fees: Account termination fee:

Explain why you structure your fees as you do:

Fee disclosure:

Hypothetical Costs for Financial Planning Services:

Hourly: \$

Flat: \$

Retainer: \$

No cost - Included with investment management:

Other: \$ Explain:

Investment Management Services: Investment under \$1,000,000

Upfront Percentage of Investment: %

Reoccurring Annual Percentage of investment: %

Surrender/back-end Percentage charge: %

How and when are fees and cost disclosed to clients?:

Attachments:

Website Address:

Documents: Check all that apply

Attached

Website

Advisor/Firm Brochure

Financial Advisor/Firm Brochure (ADV, part II)

Typical communication to clients -sample

Sample financial plan

Client Engagement Agreement

Other:

Notes:

The information provided on this questionnaire will be treated confidentially and is for the sole purpose of evaluating a financial adviser/firm.

Signature of Requester_____ Date_____

Jim Collier, author of ***Retirement is Recess for Grown-Ups*** and the blog ***The Retired Retirement Planner***, is the founder of Retir**ED** LLC, a nonaffiliated retire ready resource company located in Larkspur, Colorado.

For more retirement planning education topics, visit www.retirementrecess.com or email jim@retirementrecess.com.

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