



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