

## Financial Advisor Interview Questionnaire

**1. Why did you become a financial planner?**

I became a financial planner to be 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 10 years in investments, mutual fund companies and financial services. My MBA is in Finance and International Business and I have extensive experience in financial and investment management. I have held the following NASD licenses: 7, and Series 66.

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

I AM A CERTIFIED FINANCIAL PLANNER™ Professional, a member of the Garrett Planning Network and Financial Planning Association.

**4. What are your areas of specialty?**

My areas of specialization are investment planning, retirement planning and college funding. 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)?**

**7. Are you a registered investment adviser? Yes – State of Colorado and Kansas**

**8. Are you a 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. Financial planning fees are determined on a project basis. 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). 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 our 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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