FISCALIS ADVISORY INC

Financial Planner Interview Guide	FISCALIS ADVISORY INC	Planner 2
Standard of Care for Clients		
As a professional, to whom do you owe your primary duty of loyalty?	*To Clients*	
Do you engage clients in a fiduciary relationship (**keep their best interests above all others**)?	*Act as a Fiduciary*	
Competence		
What is your highest level of formal education?	*Honors MBA*	
Are you a board-certified financial planner?	*Yes*	
Are you admitted to unlimited practice before the IRS, and able to advise clients regarding their taxes?	*Yes*	
What financial planning & related professional designations do you hold? • CERTIFIED FINANCIAL PLANNER™ • Enrolled Agent (Admitted to unlimited practice before the IRS) • NAPFA-Registered Financial Advisor (Fee-Only, Fiduciary Level Advisors)	 ✓✓✓ ✓✓✓ ✓✓✓	
How long have you been offering financial planning services?	*Since 1999*	
How many hours of professionally related continuing education credit are you required to complete annually?	*24 hours/Year*	
Have you ever been cited by a professional or regulatory governing body for disciplinary reasons?	*Never!*	
Who will be working with me – you or an assistant? (Review above qualifications if assistant.)	*I will work with you.*	
Do you have a means of bringing depth and breadth to the financial planning and advising engagement beyond your own knowledge and experience?	*Yes!*	

COMPENSATION	FISCALIS ADVISORY INC	PLANNER 2
How are you compensated? • Fee-Only (eliminates most conflicts of interest between advisors and their clients) • Commission-Only • Fee-Based (Fees and Commissions) • Fee Offset	***FEE-ONLY***	
Will you, or any related person, receive compensation as a result of the recommendations you make?	***NO***	
SCOPE OF SERVICES		
Do you offer a holistic, tax-inclusive, approach to advising me regarding my financial affairs?	***YES***	
Which of the following services do you provide?	***ALL***	
• Personal goals discovery and development	✓✓✓	
• Cash flow needs analysis	✓✓✓	
• Financial independence / Retirement planning	✓✓✓	
• Social Security benefits maximization planning	✓✓✓	
• Pension review and analysis	✓✓✓	
• Functional asset allocation and personal risk capacity evaluation	✓✓✓	
• Investment consulting and non-discretionary investment management	✓✓✓	
• Access to the low-cost institutional investment strategies	✓✓✓	
• Tax planning and minimization	✓✓✓	
• Tax preparation, including audit protection	✓✓✓	
• Asset transfer planning	✓✓✓	
• Ongoing, proactive consideration	✓✓✓	
Do you take possession of, or have access to my assets?	***NO***	

NOTES & OTHER QUESTIONS