

Anna Berguina

## Financial Advisor Interview Questionnaire

Print Form

1. Why did you become a financial planner?

I have a passion for helping people achieve their goals and dreams. Financial planning is a tool that allows me help consumers live their fullest potential.

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

I am a CERTIFIED FINANCIAL PLANNER (TM) partitioner; 10 years on experience in the the financial services, primarily in the hourly, fee-only space of financial planning

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

CERTIFIED FINANCIAL PLANNER™ Professional

CPA/Personal Financial Specialist (CPA/PFS)

NAPFA - Registered Financial Advisor

NAPFA - Provisional Member

Chartered Financial Consultant (ChFC)

Certified Public Accountant (CPA)

Chartered Financial Analyst™ (CFA)

Other (i.e. MBA, JD, EA, CLU, RFC): \_\_\_\_\_

4. What are your areas of specialty?

I am a generalist!

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

We have a wide rage of clients we help. Most of our engagement are comprehensive plans.  
-Young families starting (30 somethings)  
-Retires and per-retires worried about not outliving their money  
-Single, widowed and never married women and men

6. Are you a registered representative of any broker/dealer? NO \_\_\_\_\_

Are you a licensed insurance agent with any company or agency? NO \_\_\_\_\_

If so, which one(s)?

7. Are you a registered investment adviser? \_\_\_\_\_ with the SEC? \_\_\_\_\_ or State(s) of: CA \_\_\_\_\_

I am also registered in: MD, DC & NY

8. Are you a fiduciary? Yes \_\_\_\_\_

9. How are you compensated?

a. Fee-Only, please define method of determining fees:

Hourly, fee-only. I use my hourly rate to come up with a project bid.

b. Commissions Only:

c. Fee and Commissions (fee based), provide typical breakdown:

d. Other:

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?

No Minimums of any kind. Typical fee is 11 hours for comprehensive financial planning that includes a year's worth of service and that would amount to a bid of \$3,300 - \$3,600. Many clients pay less than the lower bid number because it took us less time than estimated.

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. We have a standard two page hourly agreement that is provided before the initial meeting along with an agenda and list of our services.

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

We provide a report and detailed background information on our recommendations. We have samples to show prospective clients in the intial meeting.

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

Yes, we provide assistance with opening new investment accounts; implement investment recommendations; connecting clients with right professionals for insurance and estate planning needs.

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

We are always happy to provide second opinions in all areas where we have demonstrated expertise including real estate, life, health and disability insurance, and general financial planning and investment management.

Signature of Planner: /s/ Anna Sergunina \_\_\_\_\_ Date: 4.6.15 \_\_\_\_\_

Firm Name: Anna Sergunina \_\_\_\_\_