NAPFA
The National Association of Personal Financial Advisors

COMPREHENSIVE FINANCIAL PLANNING CHECKLIST

The Comprehensive Financial Planning Checklist

The First Step to Identifying If Your Advisor Is Truly Comprehensive!

Consumers today need to know that when they engage a financial advisor that the advisor is comprehensive in their approach to financial planning and is competent in their abilities to deliver the prudent recommendation you depend on. But with the growth of the industry, and the loosely used term of "Comprehensive Financial Planning", are you truly receiving comprehensive planning from a competent advisor? It's a question that the National Association of Personal Financial Advisors (NAPFA) wants to help you answer.

The following checklist can be used in the initial screening of a financial advisor. It is designed to help you better understand what the advisor can do for you in terms of helping plan for your life's goals, while measuring their ability to appropriately deliver on their promise to you. This checklist is meant to serve as an initial screening tool. To more thoroughly identify a prospective advisor's abilities and competencies, please download the full ***Comprehensive Financial Planning Diagnostic*** at www.napfa.org or call 800-366-2732.

Is Your Advisor Comprehensive?		Is Your Advisor Competent?	
Comprehensive Services Offered:		***Educational Background:***	
• Goal Setting	YES NO	• College Degree	YES NO
• Cash Management	YES NO	• Graduate Degree	YES NO
• Cash Budgeting	YES NO	• Primary Area of Study: ____________________	
• Tax Planning	YES NO	***Certifications (check all that apply):***	
• Investment Review	YES NO	• NAPFA-Registered Financial Advisor	_____
• Investment Planning	YES NO	• Certified Financial Planner (CFP)	_____
• Estate Planning	YES NO	• Chartered Fin. Consultant (ChFC)	_____
• Insurance Needs	YES NO	• Certified Public Accountant (CPA)	_____
• Education Funding	YES NO	• Personal Financial Specialist (PFS)	_____
• Retirement Planning	YES NO	• Financial Planning Association (FPA)	_____
• Other Services Offered	YES NO	• Other Certifications: ______________________	
Method of Providing Services (check all that apply):		***Experience:***	
• Provide a Written Analysis	_____	• How long have you been providing financial planning services?	_________
• Provide Recommendations	_____	***Compensation (check appropriate method):***	
• Provide Implementation	_____	• Fee-Only	_____
• Provide Ongoing Advice	_____	• Commissions	_____
		• Fee-Based (Fee and Commissions)	_____
		• Fee Offset	_____
		Regulatory:	
		• Disciplinary Actions?	_____
		• Registered Investment Advisor?	_____
		• Sign a Fiduciary Oath?	_____

***You are encouraged to visit www.iard.com to see if your prospective advisor has been disciplined by the SEC.**

Fee Only ™