



THE FINANCIAL PLANNER SCORECARD



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To help with your decision making, we recommend scoring prospective financial planners on a scale ranging from 1-5 (1 where the answer/evidence is not satisfactory, 5 where the answer/evidence is extremely compelling) and highlighting topics of concern with an exclamation mark (!).

This is useful when comparing different service providers but first you need to understand what's most important to you and your business. It's up to you to decide where you require higher scores and what your lowest acceptable scores are on various questions. Any areas that concern you may need further investigation or result in automatic exclusion.

For sample questions to ask prospective advisers please read our document titled 'Questions to ask a Prospective Financial Planner'.

EXPERIENCE TO DATE

	Company 1	Company 2	Company 3	Area of Concern
	Score 1-5	Score 1-5	Score 1-5	
First impressions				
General response times (to emails, calls etc)				
Attention to detail				
Client care to date				
Professionalism				

COMPANY BACKGROUND

	Company 1	Company 2	Company 3	Area of Concern
	Score 1-5	Score 1-5	Score 1-5	
Firm's mission & values				
Ownership structure				
Business Plan / Exit Plan				
Investment philosophy / approach				
Capacity to take on new work				

TEAM QUALIFICATIONS

	Company 1	Company 2	Company 3	Area of Concern
	Score 1-5	Score 1-5	Score 1-5	
Number of employees				
Financial Planner qualifications				
Team's qualifications				

REGULATORY

	Company 1	Company 2	Company 3	Area of Concern
	Score 1-5	Score 1-5	Score 1-5	
Regulatory status				
Fiduciaries				
Conflicts of interest (if any)				

SERVICES OFFERED

	Company 1	Company 2	Company 3	Area of Concern
	Score 1-5	Score 1-5	Score 1-5	
Meet my needs				
Access to Planner throughout the year				
Dedicated team or Account Manager				
Service Level Agreement				
Mobile access to files				
Pricing				

CLIENT ONLINE REVIEWS (GOOGLE, VOUCHEDFOR, UNBIASED, WEBSITE ETC)

	Company 1	Company 2	Company 3	Area of Concern
	Score 1-5	Score 1-5	Score 1-5	
Online Reviews				

OTHER

	Company 1	Company 2	Company 3	Area of Concern
	Score 1-5	Score 1-5	Score 1-5	

	Company 1	Company 2	Company 3
TOTAL			