

Sample Client Survey

1. Default Section

* 1. Overall, how satisfied are you with the services our firm provides you?

Very Satisfied

Satisfied

Neutral

Dissatisfied

Very Dissatisfied

* 2. Overall, how satisfied are you with your client/advisor relationship?

Very Satisfied

Satisfied

Neutral

Dissatisfied

Very Dissatisfied

3. Please rate the following and comment on any low rating.

	Agree Strongly	Agree	Neutral	Disagree	Disagree Strongly	NA
Ease in understanding the planning process	€	€	€	€	€	€
Results relative to expectations	€	€	€	€	€	€
Accuracy	€	€	€	€	€	€
Promptness	€	€	€	€	€	€
Fees to value received	€	€	€	€	€	€
Staff helpfulness and availability	€	€	€	€	€	€
Value of Newsletter	€	€	€	€	€	€
Value of Goal Setting	€	€	€	€	€	€

Comments on the above:

Sample Client Survey

4. If you are NOT satisfied with the services our firm provides, please tell us how we can best serve you?

5. FIRM OVERVIEW

	Yes	Neutral	No	N/A
Our firm is your primary advisor regarding all financial matters	jn	jn	jn	jn
You feel the office of our firm is inviting and comfortable	jn	jn	jn	jn
You feel both the advisor and the support staff of our firm present themselves in a professional manner	jn	jn	jn	jn
You believe our firm utilizes technology as an efficient conduit to create more personalized time with you	jn	jn	jn	jn
You feel the correspondence from our firm is professional, well organized and easily understood	jn	jn	jn	jn

Sample Client Survey

6. CLIENT/ADVISOR RELATIONSHIP

	Yes	Neutral	No	N/A
You believe your advisor is entirely objective and independent in their recommendations	jn	jn	jn	jn
You feel your advisor is available if you need to get in touch with them	jn	jn	jn	jn
You feel your advisor sincerely cares about fulfilling your goals regarding your financial well being	jn	jn	jn	jn
You feel your advisor listens attentively to your needs	jn	jn	jn	jn
You feel your advisor has your best interest in mind	jn	jn	jn	jn
You feel the support staff (non-advisors) are extremely competent and willing to handle your questions, concerns and issues	jn	jn	jn	jn
You feel you can contact us when you have a question or concern	jn	jn	jn	jn

Sample Client Survey

7. CLIENT COMMUNICATION

	Yes	Neutral	No	N/A
You are contacted by our firm as frequently as you would like	jn	jn	jn	jn
You are contacted in the manner/method you prefer	jn	jn	jn	jn
You review each commentary/newsletter sent to you by our firm	jn	jn	jn	jn
You review our company website on a regular basis	jn	jn	jn	jn
You review each email sent to you by our firm	jn	jn	jn	jn
If you have used our firm's new web portal, did you find it easy to use	jn	jn	jn	jn
Will the use of the Web Portal enhance your satisfaction of our services	jn	jn	jn	jn
You feel our firm communicates with you on a regular basis to help you understand the current economic conditions that may affect your financial goals	jn	jn	jn	jn
You feel you are informed of important laws, regulations and policy changes that may affect your financial plan	jn	jn	jn	jn

Sample Client Survey

8. FINANCIAL PLANNING SERVICES

	Yes	Neutral	No	N/A
You believe our firm offers sophisticated investment advice and financial planning services	jn	jn	jn	jn
You believe your advisor makes a concerted effort to customize your financial plan to your needs and risk tolerance	jn	jn	jn	jn
You believe your advisor makes a concerted effort to thoroughly explain the firm's philosophies and strategies	jn	jn	jn	jn
You are gaining value from the financial planning service you receive (retirement planning, estate planning, tax planning, etc.)	jn	jn	jn	jn
You feel comfortable notifying your planner as life changes occur	jn	jn	jn	jn
You feel you are progressing toward your personal financial planning and investment management goals	jn	jn	jn	jn

Sample Client Survey

9. INVESTMENT MANAGEMENT SERVICES

	Yes	Neutral	No	N/A
You feel the statements and performance reports from our firm are professional, well organized and easily understood	jn	jn	jn	jn
In the current economic environment, you feel your wealth is being managed properly	jn	jn	jn	jn
You are comfortable with the volatility (risk) of your portfolio over the last twelve months	jn	jn	jn	jn
You have a clear understanding of your Investment Policy Statement	jn	jn	jn	jn
You are gaining value from the investment management service you are receiving (monitoring, investments, rebalancing, adhering to the Investment Strategy)	jn	jn	jn	jn
I am satisfied with the custodians my advisor has selected	jn	jn	jn	jn
You feel you take advantage of the services offered through Schwab	jn	jn	jn	jn

Sample Client Survey

* 10. How likely would you be to refer our firm to a friend or family member?

Very Likely

Likely

Neutral

Unlikely

Very Unlikely

If you answered unlikely or very unlikely, please tell us why

11. Is there anything we could do to encourage you to refer clients to ABC Financial Planning?

12. How often would you like to be personally contacted by someone at ABC Financial Planning?

Once a Week

Once a Month

Once a Quarter

Twice a Year

Once a Year

Other (please specify)

Sample Client Survey

13. In what areas could our firm most improve?

14. If you would like to be contacted by us regarding this survey or anything else, please enter your name. However, if you would like for your responses to remain anonymous, you may leave this blank