Interview a Private Banker

Name of Bank: ____

Name of Private Banker: ______________________________________

Address: ____

_______________________________, __________ ____________

Private Banker's DIRECT Phone Number: (_____) ______ - ________________

ABA Routing Number: ____

Bank Account Number: ____

1. *How long have you been in Private Banking (establish experience)?*
   __________ years

   Comments____

   ____

   ____

   ____

2. *How many clients are you currently serving*? ______________________

3. *How many clients do you serve in the asset range that I am in*? ____________

4. *What type of services do you offer?* ______________________________

   ____

   ____

   ____

   ____

5. *Do you provide other services or are you a **Private Banker** exclusively?*

❑ *yes* ❑ *no* *Other Services* ________________________________

6. *Are you willing to share client references?* ❑ *yes* ❑ *no*

7. *Explain to me the types of clients and financial situations you typically enjoy working with.*

____

____

____

____

8. Do you prefer to develop one plan by bringing together all of my financial goals?

or Do you provide advice on specific areas as needed?

____

____

____

____

____

____

9. What are your strategies?

Are you aggressive ❑ *yes* ❑ *no*

Overly aggressive ❑ *yes* ❑ *no*

Cautious ❑ *yes* ❑ *no*

Too Cautious ❑ *yes* ❑ *no*

Will you carry out **my** recommendations? ❑ *yes* ❑ *no*

10. Will you be the only person working with me? ❑ *yes* ❑ *no*

or will you provide me with a team? ❑ *yes* ❑ *no*

Who will be the other team members?

______________________________ ______________________________

______________________________ ______________________________

______________________________ ______________________________

______________________________ ______________________________

______________________________ ______________________________

______________________________ ______________________________

11. What are the fees that will be associated with my account(s)? $________________

❑ *Annually* ❑ *Semi-Annually* ❑ Quarterly ❑ Monthly

12. Are you paid by the bank? ❑ *yes* ❑ *no*

13. Are you paid a commission? ❑ *yes* ❑ *no* *based on:* ______________________________

14. Do you have a business affiliation with any company whose products or services you are recommending? ❑ *yes* ❑ *no* *explain:* ______________________________

15. Are any of your compensation based on selling products?

❑ *yes* ❑ *no* *explain:* ______________________________

16. Do professionals and sales agents to whom you may refer me send business, fees or any other benefits to you?

❑ *yes* ❑ *no* *explain:* ______________________________

17. Do you have an affiliation with a broker/dealer? ❑ *yes* ❑ *no*

❑ *yes* ❑ *no* *explain:* ______________________________

18. Are you an owner of, or connected with any other company whose services/products I will use?

: ❑ *yes* ❑ *no* *explain:* ____

19. Do you provide a written client engagement agreement?

: ❑ *yes* ❑ *no* *If **NO**, why not?:* ______________________________________

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Financial Industry Regulatory Authority (FINRA)

(800) 289-9999 www.finra.org

National Fraud Exchange (fee involved)

(800) 822-0416

Securities and Exchange Commission

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