

Confidential Questionnaire

FOR PROSPECTIVE CLIENTS ONLY

SUMMIT FINANCIAL STRATEGIES

7965 N. High St. #350, Columbus, OH 43235
t: (614) 885-1115 f: (614) 885-1495

Personal information

Your Name: _____ Birthdate: _____
Home Address: _____ City: _____
State: _____ Zip Code: _____ Home Phone: _____
Occupation: _____ Salary/Income: _____
Employer: _____ Office phone: _____
Business Address: _____
Most convenient time to call: _____ Are you covered by a state or federal retirement plan? Y N

Spouse's Name: _____ Birthdate: _____
Occupation: _____ Salary/Income: _____
Employer: _____ Office phone: _____
Business Address: _____
Most convenient time to call: _____ Are you covered by a state or federal retirement plan? Y N

Children

Name: _____ Gender (optional): _____
Birthday: _____ Marital Status: _____ Number of Children: _____
Name: _____ Gender (optional): _____
Birthday: _____ Marital Status: _____ Number of Children: _____
Name: _____ Gender (optional): _____
Birthday: _____ Marital Status: _____ Number of Children: _____

SUMMIT FINANCIAL STRATEGIES

7965 N. High St. #350, Columbus, OH 43235
t: (614) 885-1115 f: (614) 885-1495

Assets

Cash equivalents

Checking and savings accounts \$ _____

Money market accounts \$ _____

Certificates of deposit \$ _____

Life insurance cash value \$ _____

Stocks/bonds/mutual funds

Attach a separate statement or list individual securities/funds \$ _____

\$ _____

\$ _____

Retirement plans

IRA account \$ _____

Pension plan \$ _____

Profit sharing plan \$ _____

401 (k) or thrift plan \$ _____

Tax sheltered annuity /403(b) plan \$ _____

Deferred compensation plan \$ _____

ESOP or stock option plan \$ _____

Real estate

Home \$ _____

Other real estate \$ _____

Business interests \$ _____

Other assets

Accounts receivable \$ _____

Gold or precious metals \$ _____

Oil or gas interests \$ _____

Coin/stamp/other collections \$ _____

Art and antiques \$ _____

Jewelry and furs \$ _____

Personal property \$ _____

Automobiles \$ _____

Miscellaneous \$ _____

\$ _____

\$ _____

Total Assets \$ _____

Please bring the following documents to your initial meeting:

- Most recent brokerage/investment statements
- Most recent tax return(s)
- Most recent retirement plan statement(s)
- Most recent IRA statement(s)

SUMMIT FINANCIAL STRATEGIES

7965 N. High St. #350, Columbus, OH 43235
 t: (614) 885-1115 f: (614) 885-1495

Liabilities

Home mortgage \$ _____
\$ _____
\$ _____

Home equity line of credit \$ _____
or second mortgage \$ _____

Other mortgages \$ _____

Auto loans/leases \$ _____
\$ _____
\$ _____

Other installment loans \$ _____
\$ _____

Business loans \$ _____
\$ _____

Taxes due \$ _____
\$ _____

Credit cards \$ _____
\$ _____
\$ _____

Other personal debt \$ _____

Total liabilities \$ _____

Net worth \$ _____
(Assets minus liabilities)

Financial planning priorities

In order of importance, what are your three most critical financial issues?

How did you hear about Summit Financial Strategies?

SUMMIT FINANCIAL STRATEGIES

7965 N. High St. #350, Columbus, OH 43235
t: (614) 885-1115 f: (614) 885-1495

Twenty questions

1. Do you plan to make a significant financial change in the next five years? _____ Yes No
2. Do you or your spouse expect an inheritance? If so, how much? _____ Yes No
3. Are your parents or adult children dependent on you for support? _____ Yes No
4. Do you save systematically? _____ Yes No
5. Do you have a will? _____ Yes No
6. Have you ever owned individual stocks or stock mutual funds? _____ Yes No
7. Do you have an IRA? _____ Yes No
8. Do you have an inclination to start a business? _____ Yes No
9. Do you plan to pay for your children's or grandchildren's college educations? _____ Yes No
10. Have you ever been declined or rated for life or disability insurance? _____ Yes No
11. Do you routinely receive an income tax refund? _____ Yes No
12. Do you plan to retire at a specific age? If so, when? _____ / _____ Yes No
13. Do you plan to move from your present home in the next five years? _____ Yes No
14. Do you have a/an: (check all that apply) attorney accountant insurance advisor
 broker investment advisor banker financial planner trustee
15. Are you satisfied with your financial progress to date? _____ Yes No
16. Have you ever invested in a real estate limited partnership, or other "tax shelters"? _____ Yes No
17. How much do you think the following affect portfolio performance?
Security Selection (which stocks, bonds to buy) _____ %
Market Timing (when to get in and out of market) _____ %
Portfolio Design (how much in cash vs. bonds vs. stocks) _____ %
18. How do you feel when the stock market goes down? _____
19. What happens to the value of a bond when interest rates go up? It rises It falls
20. What do you think the average annual rate of inflation has been over the past 25 years? _____

SUMMIT FINANCIAL STRATEGIES

7965 N. High St. #350, Columbus, OH 43235
t: (614) 885-1115 f: (614) 885-1495