

# Confidential Questionnaire

FOR PROSPECTIVE CLIENTS ONLY

**SUMMIT FINANCIAL STRATEGIES**

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**Reliance on Information Provided:** Summit shall rely upon information provided by you, and will not verify the accuracy of any such information. Accordingly, in the event that any such information provided is inaccurate or incomplete, the corresponding results or recommendations will be inaccurate or incomplete. It remains your responsibility to notify Summit of any changes in the information provided.

# Personal information

Your Full Legal Name \_\_\_\_\_

Your Nickname: \_\_\_\_\_ Birthdate: \_\_\_\_\_

Home Address: \_\_\_\_\_ City: \_\_\_\_\_

State: \_\_\_\_\_ Zip Code: \_\_\_\_\_ Home Phone: \_\_\_\_\_

Occupation: \_\_\_\_\_ Cell Phone: \_\_\_\_\_

Employer: \_\_\_\_\_ Office Phone: \_\_\_\_\_

Business Address: \_\_\_\_\_ Salary/Income: \_\_\_\_\_

Most convenient time to call: \_\_\_\_\_ Are you covered by a state or federal retirement plan? Y  N

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Spouse's Name: \_\_\_\_\_ Birthdate: \_\_\_\_\_

Occupation: \_\_\_\_\_ Cell Phone: \_\_\_\_\_

Employer: \_\_\_\_\_ Office Phone: \_\_\_\_\_

Business Address: \_\_\_\_\_ Salary/Income: \_\_\_\_\_

Most convenient time to call: \_\_\_\_\_ Are you covered by a state or federal retirement plan? Y  N

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# 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: \_\_\_\_\_

# 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 \$ \_\_\_\_\_

\$ \_\_\_\_\_

\$ \_\_\_\_\_

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**Total Assets** \$ \_\_\_\_\_

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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)

# 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 \$ \_\_\_\_\_

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**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?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

# 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? \_\_\_\_\_