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Confidential Personal Profile

This personal financial summary is designed to help you take inventory and assign realistic values to your personal assets and liabilities. It is the essential first step in organizing your financial future. At Sims & Karr, our mission is to help you work towards your financial goals. The information you provide in this questionnaire will assist us in making suitable recommendations for your particular situation. In order for our team to properly prepare for your meeting, please complete and return this profile **at least 2 business days prior to your appointment**. We look forward to meeting you soon. Should you have any questions or concerns, please feel free to give us a call.

**BASIC INFORMATION**

Date	_____
Name	_____
Nickname	_____
Date of Birth	_____
Phone	_____
Email	_____
Employer & Occupation	_____

Spouse's Name	_____
Nickname	_____
Date of Birth	_____
Phone	_____
Email	_____
Employer & Occupation	_____

Mailing Address	_____
City / State / Zip	_____

Dependent's Name(s)	Age(s)
_____	_____
_____	_____
_____	_____
_____	_____

## FAMILY ASSETS

	Owner's Name(s) -- Joint or Individual?	Current Value
Personal Residence		\$
Vacation /2nd residence		\$
Vehicle 1		\$
Vehicle 2		\$
Other personal assets (e.g. Non-retirement accts, Money Markets, Cash, Mutual Funds, Real Estate)		\$
Other personal assets (e.g. Non-retirement Annuities, Trusts, College Savings (ESAs, 529s), etc)		\$
<b>TOTAL PERSONAL ASSETS:</b>		<b>\$</b>

IRA 1		\$
IRA 2		\$
Retirement Plan 1 (e.g. 401k, 403b, TIAA, TSP)		\$
Retirement Plan 2 (e.g. 401k, 403b, TIAA, TSP)		\$
Annuities		\$
Other retirement assets		\$
<b>TOTAL RETIREMENT ASSETS:</b>		<b>\$</b>

## FAMILY LIABILITIES

	Creditor(s)	Original Balance	Current Balance
Mortgage on 1 <sup>st</sup> residence			
Mortgage on 2 <sup>nd</sup> residence ( or 2 <sup>nd</sup> mortgage / HELOC)			
Student Loan 1			
Student Loan 2			
Sum of all charge accounts & credit cards			
Sum of all vehicle loans			
Other liabilities (i.e. IRS debt, medical bills, personal loans, etc)			
<b>TOTAL LIABILITIES:</b>			<b>\$</b>

## FAMILY FINANCES

1. What is your Net worth (subtract total liabilities from total assets above): \$ \_\_\_\_\_
2. Please indicate percentages of assets, excluding primary residence

categories must total 100% -- please do not provide percentages in fractions or decimals

Real Estate	%	Mutual Funds	%	Checking / savings	%	Annuities	%
Insurance	%	Equities	%	Alternative Investments	%	Bonds	%
Other	%	Explain Other:					

3. Total Household Income (Modified Adjusted Gross Income): \$ \_\_\_\_\_
4. Do you have other sources of income? Y / N If so, please list below, along with amounts:
  - \_\_\_\_\_
  - \_\_\_\_\_
  - \_\_\_\_\_
5. Have you heard of Dave Ramsey? Y / N If so, where are you on your "Baby Steps"? (circle one)

Step 1. \$1,000 Starter Emergency Fund	Step 2. Debt Snowball	Step 3. 3-6 months expenses in savings	Step 4. Invest 15% of income for retirement
Step 5. College funding	Step 6. Pay off home early	Step 7. Build Wealth & Give	Haven't started Yet

6. Does your family follow a monthly written budget? Y / N
7. Do you have college savings accounts (i.e. 529s, ESAs, UGMAs) for your children? Y / N
8. What does your family spend per month to meet your necessary living expenses?
  - (i.e. food, housing, basic utilities, transportation, clothing, etc.) \$ \_\_\_\_\_
9. Do you keep an emergency fund in a savings or money market account? Y / N
  - If so, how much? \$ \_\_\_\_\_
10. Do you currently own Long Term Home Care &/or Nursing Home Insurance? Y / N
  - Insurance Company: \_\_\_\_\_
11. Are you participating in your company 401(k) / retirement plan? Y / N If so, please describe your plan/matching contributions & attach copies of your latest statement(s) & options:
   
\_\_\_\_\_
   
\_\_\_\_\_
   
\_\_\_\_\_
12. Do you currently have a financial advisor? Y / N

**13. Retirement Goals:**

- Desired Annual Income (in today's dollars): \$ \_\_\_\_\_
- If applicable, planned retirement date: \_\_\_\_\_ or if retired, date retired: \_\_\_\_\_
- Spouse planned retirement date: \_\_\_\_\_ or if spouse retired, date retired: \_\_\_\_\_

**14. Do you have Life Insurance? Y / N** If so, please complete section below:

Company	Name of Insured	Type of Insurance: term, whole, etc	Death Benefit Amount	Cash Value &/or Loan Amt
1.			\$	\$
2.			\$	\$
3.			\$	\$
4.			\$	\$

**15. If married, who makes decisions when it comes to investing, savings, insurance, etc. in your household?** \_\_\_\_\_

**16. Please list your top 3 objectives for life / financial goals / concerns:**

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

**17. What is your primary reason for contacting/scheduling an appointment with our office?**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**18. How did you hear about us?** \_\_\_\_\_

*The foregoing information fully reflects an accurate picture of my financial position at this time*

SIGNATURE: \_\_\_\_\_

SPOUSE: \_\_\_\_\_

Date: \_\_\_\_\_

## Documents to Bring

- Your latest statements for any existing investment accounts you would like to discuss
- Your most recent Social Security statement(s)
- Your driver's license(s)
- Your monthly budget (if you have one)
- The social security numbers and birthdates for your beneficiaries
- (optional) Should you want to set up banking instructions for making deposits or withdrawals, please provide a voided check

If you have not yet scheduled an appointment, someone from our office will contact you, upon receipt of your profile. We offer appointments from 9 am – 5 pm, M – F.

**Please indicate your appointment preferences below:**

in person / by phone

M / Tu / W / Th / F / Any day

Earliest Appt / Morning / Lunch Hour / Afternoon / Latest Appt / Any time

We look forward to talking with you soon.

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