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This Brochure Supplement provides information about *Carlos Alvarado* that supplements the Herbert J. Sims Capital Management, Inc. Firm Brochure. You should have received a copy of that Brochure. Please contact our Chief Compliance Officer at (800) 527-6425 if you did not receive Herbert J. Sims Capital Management's Brochure or if you have any questions about the contents of this supplement.

Additional information about *Carlos Alvarado* is available on the SEC's website at www.adviserinfo.sec.gov.

Carlos Alvarado

Item 2- Educational Background and Business Experience

Year of birth: 1960

Formal education after high school: MBA/International Business, University of Dallas; BBA/Accounting, University of Puerto Rico

Business background: Carlos Alvarado has been a financial advisor since 1985 and joined HJ Sims & Co. Inc. in 2016. Before joining HJ Sims, he worked for Santander Securities from 2000-2016, and Merrill Lynch from 1985-2000.

Item 3- Disciplinary Information

The advisor is noted as broker of record on customers' disputes against prior employer(s). Carlos Alvarado is not a named respondent to these disputes. The claims are believed to stem from the unprecedented turmoil experienced in the Puerto Rico economy. The advisor has not been asked to contribute to any settlements. The details can be found on FINRA's BrokerCheck system at www.finra.org/brokercheck.

Item 4- Other Business Activities

Carlos Alvarado is a registered representative and employee with Herbert J. Sims & Co., Inc. (HJS), which is a securities broker-dealer registered with Financial Industry Regulatory Authority (FINRA) and an introducing broker/dealer, registered with the National Futures Association (NFA). In his capacity as a registered representative Carlos Alvarado may recommend securities products and advisory services for compensation. This could present a conflict of interest to the extent Carlos Alvarado could receive fees and/or commissions and other forms of compensation that may vary from product to product (including 12b-1 trails from mutual fund products) if the client chooses to implement recommendations made while acting in his capacity as a registered representative of HJS.

The details of HJSCMs' advisory accounts and services are fully disclosed in HJSCM's Form ADV. Carlos Alvarado spends approximately 20% of his time on such duties. Therefore, the primary business of Carlos Alvarado is providing brokerage services through HJS. The client is under no obligation to purchase products or services Carlos Alvarado recommends, nor are you obligated to purchase them through him.

Carlos Alvarado as a registered representative may have incentive to recommend certain products rather than others, based on compensation received. This potential conflict of interest is addressed by HJS through communications of disclosure to clients and supervision and training of advisory representatives.

Carlos Alvarado is a licensed insurance agent authorized to sell insurance products of various insurance companies. This could present a potential conflict of interest as he could receive commissions for selling these products. The client is under no obligation to purchase products Carlos Alvarado may recommend, nor are you obligated to purchase those products through him. Approximately 10% of his time is spent on insurance products.

Item 5- Additional Compensation

Carlos Alvarado is subject to policies that prohibit the acceptance of gifts and entertainment that may influence the nature of the investment advice provided to clients. Consistent with these policies, Carlos Alvarado is permitted to receive gifts of up to \$100.

Additionally, Carlos Alvarado is subject to disclosing if he receives bonuses based on the number or amount of sales, client referrals or new accounts. Currently no such bonuses occur based on such activities or events.

Item 6 - Supervision

Carlos Alvarado conduct and activities with the public are supervised by a designated supervisory manager of HJS at or through the local branch office location, regional office and/or the Home Office. This supervision takes place through personal observation, electronic monitoring and the review of written materials and/or other appropriate practices. Additionally, ongoing advisory account reviews occur with each client, monthly, quarterly, or at least annually.

Supervisor's Name and Title: Jonathan Jarow, Private Wealth Management Group Co-Head, Managing Director

Supervisor's Telephone Number: 561-620-2153

Item 7- Requirements for State-Registered Advisers

In addition to the information and events listed above, additional disclosure is required by state securities authorities.

Carlos Alvarado has not been found liable or involved in an arbitration claim or a civil, self-regulatory, or administrative proceeding involving any of the following: investments or investment advisory related; fraud, false statement or omission; theft, embezzlement or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices.

Carlos Alvarado has not been found liable in a civil, self-regulatory organization, or

administrative proceeding involving any of the following: an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. Additionally, Carlos Alvarado has not been the subject of a bankruptcy petition.

Shane Appelbaum

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March 2022

This Brochure Supplement provides information about Shane Appelbaum that supplements the Herbert J. Sims Capital Management, Inc. Firm Brochure. You should have received a copy of that Brochure. Please contact our Chief Compliance officer at (800) 527-6425 if you did not receive Herbert J. Sims Capital Management's Brochure or if you have any questions about the contents of this supplement.

Additional information about Shane Appelbaum is available on the SEC's website at www.adviserinfo.sec.gov.

Shane Appelbaum

Item 2- Educational Background and Business Experience

Year of birth: 1978

Formal education after high school: Attended Northeastern University

Business background: After attending Northeastern University, Shane Appelbaum joined HJ Sims & Co., Inc. in 2004. At HJ Sims & Co., Inc., Shane serves his clients as a Financial Advisor and a Registered Investment Advisor. He has been in practice for over 18 years.

Item 3- Disciplinary Information

No information or events have occurred that are applicable to this Item. Registered investment advisors are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

Item 4- Other Business Activities

Shane Appelbaum is a registered representative and employee with Herbert J. Sims & Co., Inc (HJS), which is a securities broker dealer registered with Financial Industry Regulatory Authority (FINRA) and an introducing broker registered with the National Futures Association (NFA). In his capacity as a registered representative Shane Appelbaum may recommend securities products and advisory services for compensation. This could present a conflict of interest to the extent Shane Appelbaum could receive fees and/or commissions and other forms of compensation that may vary from product to product (including 12b-1 trails from mutual fund products) if the client chooses to implement recommendations made while acting in his capacity as a registered representative of HJS.

The details of HJSCMs' advisory accounts and services are fully disclosed in HJSCM's Form ADV. Shane Appelbaum spends approximately 75% of his time on such duties. The client is under no obligation to purchase products or services Shane Appelbaum recommends, nor is s/he obligated to purchase them through him.

Shane Appelbaum as a registered representative may have incentive to recommend certain products rather than others, based on compensation received. This potential conflict of interest is addressed by HJS through communications of disclosure to clients and supervision and training of advisory representatives.

Item 5- Additional Compensation

Shane Appelbaum is subject to policies that prohibit the acceptance of gifts and entertainment that may influence the nature of the investment advice provided to clients. Consistent with these policies, Shane Appelbaum is permitted to receive gifts of up to \$100.

Additionally, Shane Appelbaum is subject to disclosing if they receive bonuses based on the number or amount of sales, client referrals or new accounts. Currently no such bonuses occur based on such activities or events.

Item 6 - Supervision

Shane Appelbaum conduct and activities with the public are supervised by a designated supervisory manager of HJS at or through the local branch office location, regional office and/or the Home Office. This supervision takes place through personal observation, electronic monitoring and the review of written materials and/or other appropriate practices. Additionally, ongoing advisory account reviews occur with each client, monthly, quarterly, or at least annually.

Supervisor's Name and Title: Jonathan Jarow, Private Wealth Management Group Co-Head, Managing Director
Supervisor's Telephone Number: 561-620-2153

Item 7- Requirements for State-Registered Advisers

In addition to the information and events listed above, additional disclosure is required by state securities authorities.

Shane Appelbaum has not been found liable or involved in an arbitration claim or a civil, self-regulatory, or administrative proceeding involving any of the following: investments or investment advisory related; fraud, false statement or omission; theft, embezzlement or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices.

Shane Appelbaum has not been found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following: an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. Additionally, Shane Appelbaum has not been the subject of a bankruptcy petition.

Rebecca Beckett

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This Brochure Supplement provides information about *Rebecca Beckett* that supplements the Herbert J. Sims Capital Management, Inc. Firm Brochure. You should have received a copy of that Brochure. Please contact our Chief Compliance Officer at (800) 527-6425 if you did not receive Herbert J. Sims Capital Management's Brochure or if you have any questions about the contents of this supplement.

Additional information about *Rebecca Beckett* is available on the SEC's website at www.adviserinfo.sec.gov.

Rebecca Beckett

Item 2- Educational Background and Business Experience

Year of birth: 1971

Formal education after high school: Graduated from St. Mary's College of Maryland in 1995

Business background: Joined HJ Sims in 2020 as a Financial Advisor and previously was with Oppenheimer & Co. for 6 years.

Professional designations: Certified Financial Planner ([CFP®](#))

Item 3- Disciplinary Information

No information or events have occurred that are applicable to this Item. Registered investment advisors are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

Item 4- Other Business Activities

Rebecca Beckett is a registered representative and employee with Herbert J. Sims & Co., Inc. (HJS), which is a securities broker-dealer registered with Financial Industry Regulatory Authority (FINRA) and an introducing broker/dealer, registered with the National Futures Association (NFA). In her capacity as a registered representative Rebecca Beckett may recommend securities products and advisory services for compensation. There could present a conflict of interest to the extent Rebecca Beckett could receive fees and/or commissions and other forms of compensation that may vary from product to product (including 12b-1 trails from mutual fund products) if the client chooses to implement recommendations made while acting in her capacity as a registered representative of HJS.

The details of HJSCMs' advisory accounts and services are fully disclosed in HJSCM's Form ADV. Rebecca Becketts spends approximately 50% of her time on such duties. Rebecca Beckett also provides brokerage services through HJS. The client is under no obligation to purchase products or services Rebecca Beckett recommends.

Rebecca Beckett, as a registered representative, may have incentive to recommend certain products rather than others, based on compensation received. The potential conflict of interest is addressed by HJS through communications of disclosure to clients and supervision and training of advisory representatives. Rebecca Beckett is also a licensed insurance agent authorized to sell insurance products of various insurance

companies. There could present a potential conflict of interest as she could receive commissions for selling these products. The client is under no obligation to purchase products Rebecca Beckett may recommend, nor are you obligated to purchase those products through her. Approximately 10% of her time is spent on insurance products.

Item 5- Additional Compensation

Rebecca Beckett is subject to policies that prohibit the acceptance of gifts and entertainment that may influence the nature of the investment advice provided to clients. Consistent with these policies, Rebecca Beckett is permitted to receive gifts of up to \$100.

Additionally, Rebecca Beckett is subject to disclosing if he receives bonuses based on the number or amount of sales, client referrals or new accounts. Currently no such bonuses occur based on such activities or events.

Item 6 - Supervision

Rebecca Beckett conduct and activities with the public are supervised by a designated supervisory manager of HJS at or through the local branch office location, regional office and/or the Home Office. This supervision takes place through personal observation, electronic monitoring and the review of written materials and/or other appropriate practices. Additionally, ongoing advisory account reviews occur with each client, monthly, quarterly, or at least annually.

Supervisor's Name and Title: Jonathan Jarow, Private Wealth Management Group Co-Head, Managing Director

Supervisor's Telephone Number: 561-620-2153

Item 7- Requirements for State-Registered Advisers

In addition to the information and events listed above, additional disclosure is required by state securities authorities.

Rebecca Beckett has not been found liable or involved in an arbitration claim or a civil, self-regulatory, or administrative proceeding involving any of the following: investments or investment advisory related; fraud, false statement or omission; theft, embezzlement or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices.

Rebecca Beckett has not been found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following: an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or

other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. Additionally, Rebecca Beckett has not been the subject of a bankruptcy petition.

Les R. Campbell

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This Brochure Supplement provides information about *Les Campbell* that supplements the Herbert J. Sims Capital Management, Inc. Firm Brochure. You should have received a copy of that Brochure. Please contact our Chief Compliance Officer at (800) 527-6425 if you did not receive Herbert J. Sims Capital Management's Brochure or if you have any questions about the contents of this supplement.

Additional information about *Les Campbell* is available on the SEC's website at www.adviserinfo.sec.gov.

Les Campbell

Item 2- Educational Background and Business Experience

Year of birth: 1956

Formal education after high school: Graduated from Florida State University with a B.S. in Political Science in 1977.

Business background: Les is a non-practicing C.P.A., who began his career as an auditor with Price Waterhouse in Ft. Lauderdale in 1978. He served as the Corporate Controller for Coral Ridge Properties, a real estate subsidiary of Westinghouse Electric Corporation, from 1986 to 1994, and was Chief Financial Officer for Transeastern Properties, a Florida home builder, from 1994 until the end of 1997. Les Campbell has been in the financial services industry since 1997. Joined Herbert J. Sims & Co., Inc., where he has worked for the past 20 years as a Senior Vice President, Private Client Advisor in the firms Boca Raton office.

Item 3- Disciplinary Information

No information or events have occurred that are applicable to this Item. Registered investment advisors are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

Item 4- Other Business Activities

Les Campbell is a registered representative and employee with Herbert J. Sims & Co., Inc. (HJS), which is a securities broker-dealer registered with Financial Industry Regulatory Authority (FINRA) and an introducing broker/dealer, registered with the National Futures Association (NFA). In his capacity as a registered representative Les Campbell may recommend securities products and advisory services for compensation. This could present a conflict of interest to the extent Les Campbell could receive fees and/or commissions and other forms of compensation that may vary from product to product (including 12b-1 trails from mutual fund products) if the client chooses to implement recommendations made while acting in his capacity as a registered representative of HJS.

The details of HJSCMs' advisory accounts and services are fully disclosed in HJSCM's Form ADV. Les Campbell spends approximately 15% of his time on such duties. Therefore, the primary business of Les Campbell is providing brokerage services through HJS. The client is under no obligation to purchase products or services Les Campbell recommends, nor are you obligated to purchase them through him.

Les Campbell as a registered representative may have incentive to recommend certain

products rather than others, based on compensation received. This potential conflict of interest is addressed by HJS through communications of disclosure to clients and supervision and training of advisory representatives.

Item 5- Additional Compensation

Les Campbell is subject to policies that prohibit the acceptance of gifts and entertainment that may influence the nature of the investment advice provided to clients. Consistent with these policies, Les Campbell is permitted to receive gifts of up to \$100.

Additionally, Les Campbell is subject to disclosing if he receives bonuses based on the number or amount of sales, client referrals or new accounts. Currently no such bonuses occur based on such activities or events.

Item 6 - Supervision

Les Campbell conduct and activities with the public are supervised by a designated supervisory manager of HJS at or through the local branch office location, regional office and/or the Home Office. This supervision takes place through personal observation, electronic monitoring and the review of written materials and/or other appropriate practices. Additionally ongoing advisory account reviews occur with each client, monthly, quarterly, or at least annually.

Supervisor's Name and Title: Jonathan Jarow, Private Wealth Management Group Co-Head, Managing Director

Supervisor's Telephone Number: 561-620-2153

Item 7- Requirements for State-Registered Advisers

In addition to the information and events listed above, additional disclosure is required by state securities authorities.

Les Campbell has not been found liable or involved in an arbitration claim or a civil, self-regulatory, or administrative proceeding involving any of the following: investments or investment advisory related; fraud, false statement or omission; theft, embezzlement or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices.

Les Campbell has not been found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following: an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or

dishonest, unfair, or unethical practices. Additionally, Les Campbell has not been the subject of a bankruptcy petition.

Meyer Cheikin

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This Brochure Supplement provides information about *Meyer Cheikin* that supplements the Herbert J. Sims Capital Management, Inc. Firm Brochure. You should have received a copy of that Brochure. Please contact our Chief Compliance Officer at (800) 527-6425 if you did not receive Herbert J. Sims Capital Management's Brochure or if you have any questions about the contents of this supplement.

Additional information about *Meyer Cheikin* is available on the SEC's website at www.adviserinfo.sec.gov.

Meyer Cheikin

Item 2- Educational Background and Business Experience

Year of birth: 1943

Formal education after high school: Graduated from University of New Haven with a B.S. in Quantitative Analysis and the Naval Science Institute at Yale University, as well spent the next seven years as an Officer and Pilot in the U.S. Navy.

Business background: Meyer Cheikin has been in the financial services industry since 1979. Joined Smith Barney, where he worked for 26 years as a Financial Advisor. Mr. Cheikin, then went on to move his financial practice to Wells Fargo Advisors in Naples, Florida. In 2012 joined a local advisory practice in Westport Resources, LLC as a Senior Vice President in till December 2015. Mr. Cheikin, is currently employed as Senior Vice President, Private Client Advisor with HJ Sims since January 2016 in the firms Boca Raton office.

Item 3- Disciplinary Information

No information or events have occurred that are applicable to this Item covering the previous ten (10) years. Registered investment advisors are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. Additional details about disciplinary event can be found at www.finra.org/brokercheck.

Item 4- Other Business Activities

Meyer Cheikin is a registered representative and employee with Herbert J. Sims & Co., Inc. (HJS), which is a securities broker-dealer registered with Financial Industry Regulatory Authority (FINRA) and an introducing broker/dealer, registered with the National Futures Association (NFA). In his capacity as a registered representative Meyer Cheikin may recommend securities products and advisory services for compensation. This could present a conflict of interest to the extent Meyer Cheikin could receive fees and/or commissions and other forms of compensation that may vary from product to product (including 12b-1 trails from mutual fund products) if the client chooses to implement recommendations made while acting in his capacity as a registered representative of HJS.

The details of HJSCMs' advisory accounts and services are fully disclosed in HJSCM's Form ADV. Meyer Cheikin spends approximately 70% of his time on such duties. Therefore, the primary business of Meyer Cheikin is providing advisory services through Herbert J. Sims Capital Management, Inc. The client is under no obligation to purchase non-advisory products or services Meyer Cheikin recommends.

Meyer Cheikin as a registered representative may have incentive to recommend certain products rather than others, based on compensation received. This potential conflict of interest is addressed by HJS through communications of disclosure to clients and supervision and training of advisory representatives.

Meyer Cheikin is a licensed insurance agent authorized to sell insurance products of various insurance companies. This could present a potential conflict of interest as he could receive commissions for selling these products. The client is under no obligation to purchase products Meyer Cheikin may recommend, nor are you obligated to purchase those products through him. Approximately 5% of his time is spent on insurance products.

Item 5- Additional Compensation

Meyer Cheikin is subject to policies that prohibit the acceptance of gifts and entertainment that may influence the nature of the investment advice provided to clients. Consistent with these policies, Meyer Cheikin is permitted to receive gifts of up to \$100.

Additionally, Meyer Cheikin is subject to disclosing if he receives bonuses based on the number or amount of sales, client referrals or new accounts. Currently no such bonuses occur based on such activities or events.

Item 6 - Supervision

Meyer Cheikin conduct and activities with the public are supervised by a designated supervisory manager of HJS at or through the local branch office location, regional office and/or the Home Office. This supervision takes place through personal observation, electronic monitoring and the review of written materials and/or other appropriate practices. Additionally, ongoing advisory account reviews occur with each client, monthly, quarterly, or at least annually.

Supervisor's Name and Title: Jonathan Jarow, Private Wealth Management Group
Co-Head, Managing Director

Supervisor's Telephone Number: 561-620-2153

Item 7- Requirements for State-Registered Advisers

In addition to the information and events listed above, additional disclosure is required by state securities authorities.

Meyer Cheikin has not been found liable or involved in an arbitration claim or a civil, self- regulatory, or administrative proceeding involving any of the following: investments or investment advisory related; fraud, false statement or omission; theft, embezzlement or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices.

Meyer Cheikin has not been found liable in a civil, self-regulatory organization, or

administrative proceeding involving any of the following: an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. Additionally, Meyer Cheikin has not been the subject of a bankruptcy petition.

Steven Cho

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March 2022

This Brochure Supplement provides information about *Steven Cho* that supplements the Herbert J. Sims Capital Management, Inc. Firm Brochure. You should have received a copy of that Brochure. Please contact our Chief Compliance Officer at (800) 527-6425 if you did not receive Herbert J. Sims Capital Management's Brochure or if you have any questions about the contents of this supplement.

Additional information about *Steven Cho* is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2- Educational Background and Business Experience

Year of birth: 1972

Formal education after high school: Attended University of Maryland Baltimore County from 1990-1994.

Business background: Steven Cho has been in the financial services industry since 1995. And currently has been employed as a Senior Vice President with HJ Sims & Co., Inc. since 2019.

Item 3- Disciplinary Information

No information or events have occurred that are applicable to this Item. Registered investment advisors are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

Item 4- Other Business Activities

Steven Cho is a registered representative and employee with Herbert J. Sims & Co., Inc. (HJS), which is a securities broker-dealer registered with Financial Industry Regulatory Authority (FINRA) and an introducing broker/dealer, registered with the National Futures Association (NFA). In his capacity as a registered representative Steven Cho may recommend securities products and advisory services for compensation. This could present a conflict of interest to the extent Steven Cho could receive fees and/or commissions and other forms of compensation that may vary from product to product (including 12b-1 trails from mutual fund products) if the client chooses to implement recommendations made while acting in his capacity as a registered representative of HJS.

The details of HJSCMs' advisory accounts and services are fully disclosed in HJSCM's Form ADV. Steven Cho spends approximately 45% of his time on such duties. Therefore, the primary business of Steven Cho is providing brokerage services through HJS. The client is under no obligation to purchase products or services Steven Cho recommends, nor are you obligated to purchase them through him.

Steven Cho as a registered representative may have incentive to recommend certain products rather than others, based on compensation received. This potential

conflict of interest is addressed by HJS through communications of disclosure to clients and supervision and training of advisory representatives.

Steven Cho is also a licensed insurance agent authorized to sell insurance products of various insurance companies. This could present a potential conflict of interest as he could receive commissions for selling these products. The client is under no obligation to purchase products Steven Cho may recommend, nor are you obligated to purchase those products through him. Approximately 5% of his time is spent on insurance products.

Item 5- Additional Compensation

Steven Cho is subject to policies that prohibit the acceptance of gifts and entertainment that may influence the nature of the investment advice provided to clients. Consistent with these policies, Steven Cho is permitted to receive gifts of up to \$100.

Additionally, Steven Cho is subject to disclosing if he receives bonuses based on the number or amount of sales, client referrals or new accounts. Currently no such bonuses occur based on such activities or events.

Item 6 - Supervision

Steven Cho conduct and activities with the public are supervised by a designated supervisory manager of HJS at or through the local branch office location, regional office and/or the Home Office. This supervision takes place through personal observation, electronic monitoring and the review of written materials and/or other appropriate practices. Additionally, ongoing advisory account reviews occur with each client, monthly, quarterly, or at least annually.

Supervisor's Name and Title: John Koene, Private Wealth Management Group Co-Head, Managing Director

Supervisor's Telephone Number: 732-590-0533

Item 7- Requirements for State-Registered Advisers

In addition to the information and events listed above, additional disclosure is required by state securities authorities.

Steven Cho has not been found liable or involved in an arbitration claim or a civil, self-regulatory, or administrative proceeding involving any of the following: investments or investment advisory related; fraud, false statement or omission; theft, embezzlement or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or

dishonest, unfair, or unethical practices.

Steven Cho has not been found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following: an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. Additionally, Steven Cho has not been the subject of a bankruptcy petition.

Eugene Chyzowych

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March 2022

This Brochure Supplement provides information about *Eugene Chyzowych* that supplements the Herbert J. Sims Capital Management, Inc. Firm Brochure. You should have received a copy of that Brochure. Please contact our Chief Compliance Officer at (800) 527-6425 if you did not receive Herbert J. Sims Capital Management's Brochure or if you have any questions about the contents of this supplement.

Additional information about *Eugene Chyzowych* is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2- Educational Background and Business Experience

Year of birth: 1971

Formal education after high school: Graduated from Brown University with a B.A. in History in 1993.

Business background: Eugene Chyzowych has been in the financial services industry since 1994. And currently has been employed as a Senior Vice President with HJ Sims & Co., Inc. since 1998.

Item 3- Disciplinary Information

No information or events have occurred that are applicable to this Item. Registered investment advisors are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

Item 4- Other Business Activities

Eugene Chyzowych is a registered representative and employee with Herbert J. Sims & Co., Inc. (HJS), which is a securities broker-dealer registered with Financial Industry Regulatory Authority (FINRA) and an introducing broker/dealer, registered with the National Futures Association (NFA). In his capacity as a registered representative Eugene Chyzowych may recommend securities products and advisory services for compensation. This could present a conflict of interest to the extent Eugene Chyzowych could receive fees and/or commissions and other forms of compensation that may vary from product to product (including 12b-1 trails from mutual fund products) if the client chooses to implement recommendations made while acting in his capacity as a registered representative of HJS.

The details of HJSCMs' advisory accounts and services are fully disclosed in HJSCM's Form ADV. Eugene Chyzowych spends approximately 10% of his time on such duties. Therefore, the primary business of Eugene Chyzowych is providing brokerage services through HJS. The client is under no obligation to purchase products or services Eugene Chyzowych recommends, nor are you obligated to purchase them through him.

Eugene Chyzowych as a registered representative may have incentive to recommend certain products rather than others, based on compensation received. This potential

conflict of interest is addressed by HJS through communications of disclosure to clients and supervision and training of advisory representatives.

Eugene Chyzowych is also a licensed insurance agent authorized to sell insurance products of various insurance companies. This could present a potential conflict of interest as he could receive commissions for selling these products. The client is under no obligation to purchase products Eugene Chyzowych may recommend, nor are you obligated to purchase those products through him. Approximately 10% of his time is spent on insurance products.

Item 5- Additional Compensation

Eugene Chyzowych also receives other forms of compensation from third-party investment advisers and/or HJS when attending conferences or additional training and education events in which they attend. Individuals may attend these events without charge or may be reimbursed for travel and other related miscellaneous expenses (non-cash compensation).

Eugene Chyzowych is subject to policies that prohibit the acceptance of gifts and entertainment that may influence the nature of the investment advice provided to clients. Consistent with these policies, Eugene Chyzowych is permitted to receive gifts of up to \$100.

Additionally, Eugene Chyzowych is subject to disclosing if he receives bonuses based on the number or amount of sales, client referrals or new accounts. Currently no such bonuses occur based on such activities or events.

Item 6 - Supervision

Eugene Chyzowych conduct and activities with the public are supervised by a designated supervisory manager of HJS at or through the local branch office location, regional office and/or the Home Office. This supervision takes place through personal observation, electronic monitoring and the review of written materials and/or other appropriate practices. Additionally, ongoing advisory account reviews occur with each client, monthly, quarterly, or at least annually.

Supervisor's Name and Title: John Koene, Private Wealth Management Group Co-Head, Managing Director

Supervisor's Telephone Number: 732-590-0533

Item 7- Requirements for State-Registered Advisers

In addition to the information and events listed above, additional disclosure is required by state securities authorities.

Eugene Chyzowych has not been found liable or involved in an arbitration claim or a civil, self-regulatory, or administrative proceeding involving any of the following: investments or investment advisory related; fraud, false statement or omission; theft, embezzlement or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices.

Eugene Chyzowych has not been found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following: an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. Additionally, Eugene Chyzowych has not been the subject of a bankruptcy petition.

Michael Corbett

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March 2022

This Brochure Supplement provides information about *Michael Corbett* that supplements the Herbert J. Sims Capital Management, Inc. Firm Brochure. You should have received a copy of that Brochure. Please contact our Chief Compliance Officer at (800) 527-6425 if you did not receive Herbert J. Sims Capital Management's Brochure or if you have any questions about the contents of this supplement.

Additional information about *Michael Corbett* is available on the SEC's website at www.adviserinfo.sec.gov.

Michael Corbett

Item 2- Educational Background and Business Experience

Year of birth: 1973

Formal education after high school: Graduated from the University of Minnesota with a Bachelor of Science from the College of Education in 1996.

Business background: Michael Corbett is a Financial Advisor working at Herbert J. Sims Capital Management, Inc. in Bloomington, MN and has over 24 years of experience in the finance industry. He has been with HJ Sims for approximately 3 years. Michael Corbett has taken additional exams to become a Certified Financial Planner ([CFP®](#)) and a Certified Retirement Counselor ([CRC®](#)).

Professional Designations: Certified Financial Planner ([CFP®](#)); Certified Retirement Counselor ([CRC®](#));

Item 3- Disciplinary Information

No information or events have occurred that are applicable to this Item. Registered investment advisors are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

Item 4- Other Business Activities

Michael Corbett is a registered representative and employee with Herbert J. Sims & Co., Inc. (HJS), which is a securities broker-dealer registered with Financial Industry Regulatory Authority (FINRA) and an introducing broker/dealer, registered with the National Futures Association (NFA). In his capacity as a registered representative Michael Corbett may recommend securities products and advisory services for compensation. This could present a conflict of interest to the extent Michael Corbett could receive fees and/or commissions and other forms of compensation that may vary from product to product (including 12b-1 trails from mutual fund products) if the client chooses to implement recommendations made while acting in his capacity as a registered representative of HJS.

The details of HJSCMs' advisory accounts and services are fully disclosed in HJSCM's Form ADV. Michael Corbett spends approximately 20% of his time on such duties. Therefore, the primary business of Michael Corbett is providing brokerage services through HJS. The client is under no obligation to purchase products or services Michael Corbett recommends, nor are you obligated to purchase them through him.

Michael Corbett as a registered representative may have incentive to recommend certain products rather than others, based on compensation received. This potential conflict of interest is addressed by HJS through communications of disclosure to clients and supervision and training of advisory representatives.

Michael Corbett is a licensed insurance agent authorized to sell insurance products of various insurance companies. This could present a potential conflict of interest as he could receive commissions for selling these products. The client is under no obligation to purchase products Michael Corbett may recommend, nor are you obligated to purchase those products through him. Approximately 15% of his time is spent on insurance products.

Item 5- Additional Compensation

Michael Corbett is subject to policies that prohibit the acceptance of gifts and entertainment that may influence the nature of the investment advice provided to clients. Consistent with these policies, Michael Corbett is permitted to receive gifts of up to \$100.

Additionally, Michael Corbett is subject to disclosing if he receives bonuses based on the number or amount of sales, client referrals or new accounts. Currently no such bonuses occur based on such activities or events.

Item 6 - Supervision

Michael Corbett conduct and activities with the public are supervised by a designated supervisory manager of HJS at or through the local branch office location, regional office and/or the Home Office. This supervision takes place through personal observation, electronic monitoring and the review of written materials and/or other appropriate practices. Additionally ongoing advisory account reviews occur with each client, monthly, quarterly, or at least annually.

Supervisor's Name and Title: Patrick Richard, Senior Vice President, Branch Manager
Supervisor's Telephone Number: 952-683-7508

Item 7- Requirements for State-Registered Advisers

In addition to the information and events listed above, additional disclosure is required by state securities authorities.

Michael Corbett has not been found liable or involved in an arbitration claim or a civil, self-regulatory, or administrative proceeding involving any of the following: investments or investment advisory related; fraud, false statement or omission; theft, embezzlement or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices.

Michael Corbett has not been found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following: an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. Additionally, Michael Corbett has not been the subject of a bankruptcy petition.

Frank Oscar Curcio

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March 2022

This Brochure Supplement provides information about Frank Curcio that supplements the Herbert J. Sims Capital Management, Inc. Firm Brochure. You should have received a copy of that Brochure. Please contact our Chief Compliance officer at (800) 527-6425 if you did not receive Herbert J. Sims Capital Management's Brochure or if you have any questions about the contents of this supplement.

Additional information about Frank Curcio is available on the SEC's website at www.adviserinfo.sec.gov.

Frank Curcio

Item 2- Educational Background and Business Experience

Year of birth: 1965

Formal education after high school: Attended New York Institute of Finance and New York University

Business background: Financial Advisor and formerly CEO of Global Futures International

Item 3- Disciplinary Information

No information or events have occurred that are applicable to this Item. Registered investment advisors are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

Item 4- Other Business Activities

Frank Curcio is a registered representative and employee with Herbert J. Sims & Co., Inc (HJS), which is a securities broker dealer registered with Financial Industry Regulatory Authority (FINRA) and an introducing broker registered with the National Futures Association (NFA). In his capacity as a registered representative Frank Curcio may recommend securities products and advisory services for compensation. This could present a conflict of interest to the extent Frank Curcio could receive fees and/or commissions and other forms of compensation that may vary from product to product (including 12b-1 trails from mutual fund products) if the client chooses to implement recommendations made while acting in his capacity as a registered representative of HJS.

The details of HJSCMs' advisory accounts and services are fully disclosed in HJSCM's Form ADV. Frank Curcio spends approximately 85% of his time on such duties. The client is under no obligation to purchase products or services Frank Curcio recommends, nor is s/he obligated to purchase them through him.

Frank Curcio as a registered representative may have incentive to recommend certain products rather than others, based on compensation received. This potential conflict of interest is addressed by HJS through communications of disclosure to clients and supervision and training of advisory representatives.

Frank Curcio is a licensed insurance agent authorized to sell insurance products of various insurance companies. This could present a potential conflict of interest as he could receive commissions for selling these products. The client is under no obligation to purchase products Frank Curcio may recommend, nor are you obligated to purchase those products through him.

Approximately less than 5% of his time is spent on insurance products.

Item 5- Additional Compensation

Frank Curcio is subject to policies that prohibit the acceptance of gifts and entertainment that may influence the nature of the investment advice provided to clients. Consistent with these policies, Frank Curcio is permitted to receive gifts of up to \$100.

Additionally, Frank Curcio is subject to disclosing if he receives bonuses based on the number or amount of sales, client referrals or new accounts. Currently no such bonuses occur based on such activities or events.

Item 6 - Supervision

Frank Curcio conduct and activities with the public are supervised by a designated supervisory manager of HJS at or through the local branch office location, regional office and/or the Home Office. This supervision takes place through personal observation, electronic monitoring and the review of written materials and/or other appropriate practices. Additionally, ongoing advisory account reviews occur with each client, monthly, quarterly, or at least annually.

Supervisor's Name and Title: Jonathan Jarow, Private Wealth Management Group Co-Head, Managing Director
Supervisor's Telephone Number: 561-620-2153

Item 7- Requirements for State-Registered Advisers

In addition to the information and events listed above, additional disclosure is required by state securities authorities.

Frank Curcio has not been found liable or involved in an arbitration claim or a civil, self-regulatory, or administrative proceeding involving any of the following: investments or investment advisory related; fraud, false statement or omission; theft, embezzlement or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices.

Frank Curcio has not been found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following: an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. Additionally, Frank Curcio has not been the subject of a bankruptcy petition.

Luis Currais

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March 2022

This Brochure Supplement provides information about *Luis Currais* that supplements the Herbert J. Sims Capital Management, Inc. Firm Brochure. You should have received a copy of that Brochure. Please contact our Chief Compliance Officer at (800) 527-6425 if you did not receive Herbert J. Sims Capital Management's Brochure or if you have any questions about the contents of this supplement.

Additional information about *Luis Currais* is available on the SEC's website at www.adviserinfo.sec.gov.

Luis Currais

Item 2- Educational Background and Business Experience

Year of birth: 1951

Formal education after high school: New York Institute of Finance, 1978;
Interamerican University, 1975

Business background: Luis Currais joined HJ Sims & Co. Inc. in 2016. Before joining HJ Sims, Luis Currais worked for Santander Securities from 2006-2016; and UBS Financial Services from 1978-2006.

Item 3- Disciplinary Information

The advisor is noted as broker of record on customers' disputes against prior employer(s). Luis Currais is not a named respondent to these disputes. The claims are believed to stem from the unprecedented turmoil experienced in the Puerto Rico economy. The advisor has not been asked to contribute to any settlements. The details can be found on FINRA's BrokerCheck system at www.finra.org/brokercheck.

Item 4- Other Business Activities

Luis Currais is a registered representative and employee with Herbert J. Sims & Co., Inc. (HJS), which is a securities broker-dealer registered with Financial Industry Regulatory Authority (FINRA) and an introducing broker/dealer, registered with the National Futures Association (NFA). In his capacity as a registered representative Luis Currais may recommend securities products and advisory services for compensation. This could present a conflict of interest to the extent Luis Currais could receive fees and/or commissions and other forms of compensation that may vary from product to product (including 12b-1 trails from mutual fund products) if the client chooses to implement recommendations made while acting in his capacity as a registered representative of HJS.

The details of HJSCMs' advisory accounts and services are fully disclosed in HJSCM's Form ADV. Luis Currais spends approximately 30% of his time on such duties. Therefore, the primary business of Luis Currais is providing brokerage services through HJS. The client is under no obligation to purchase products or services Luis Currais recommends, nor are you obligated to purchase them through him.

Luis Currais as a registered representative may have incentive to recommend certain products rather than others, based on compensation received. This potential conflict of

interest is addressed by HJS through communications of disclosure to clients and supervision and training of advisory representatives.

Item 5- Additional Compensation

Luis Currais is subject to policies that prohibit the acceptance of gifts and entertainment that may influence the nature of the investment advice provided to clients. Consistent with these policies, Luis Currais is permitted to receive gifts of up to \$100.

Additionally, Luis Currais is subject to disclosing if he receives bonuses based on the number or amount of sales, client referrals or new accounts. Currently no such bonuses occur based on such activities or events.

Item 6 - Supervision

Luis Currais conduct and activities with the public are supervised by a designated supervisory manager of HJS at or through the local branch office location, regional office and/or the Home Office. This supervision takes place through personal observation, electronic monitoring and the review of written materials and/or other appropriate practices. Additionally ongoing advisory account reviews occur with each client, monthly, quarterly, or at least annually.

Supervisor's Name and Title: Mariangie Colon, Branch Manager
Supervisor's Telephone Number: 939-399-0105

Item 7- Requirements for State-Registered Advisers

In addition to the information and events listed above, additional disclosure is required by state securities authorities.

Luis Currais has not been found liable or involved in an arbitration claim or a civil, self-regulatory, or administrative proceeding involving any of the following: investments or investment advisory related; fraud, false statement or omission; theft, embezzlement or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices.

Luis Currais has not been found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following: an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. Additionally, Luis Currais has not been the subject of a bankruptcy petition.

Alan Dalewitz

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March 2022

This Brochure Supplement provides information about *Alan Dalewitz* that supplements the Herbert J. Sims Capital Management, Inc. Firm Brochure. You should have received a copy of that Brochure. Please contact our Chief Compliance Officer at (800) 527-6425 if you did not receive Herbert J. Sims Capital Management's Brochure or if you have any questions about the contents of this supplement.

Additional information about *Alan Dalewitz* is available on the SEC's website at www.adviserinfo.sec.gov.

Alan Dalewitz

Item 2- Educational Background and Business Experience

Year of birth: 1948

Formal education after high school: Graduated from Queens College of the City University of New York with a B.A. in Economics and a Minor in Political Science. Additionally received a MBA in Accounting from St. Johns University in 1977

Business background: Alan Dalewitz has been in the financial services industry since 1969 in both the Banking and Brokerage industries. He joined HJ Sims &Co. Inc. in 1995 and currently is a Senior Vice President. Over his 50 plus years in the industry he has held senior executive management positions in three different brokerage companies and Herbert J. Sims Capital Management, Inc. For a time, he also served as an industry member panelist with the New York Stock Exchange Hearing Board.

Item 3- Disciplinary Information

No information or events have occurred that are applicable to this Item. Registered investment advisors are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

Item 4- Other Business Activities

Alan Dalewitz is a registered representative and employee with Herbert J. Sims & Co., Inc. (HJS), which is a securities broker-dealer registered with Financial Industry Regulatory Authority (FINRA) and an introducing broker/dealer, registered with the National Futures Association (NFA). In his capacity as a registered representative Alan Dalewitz may recommend securities products and advisory services for compensation. This could present a conflict of interest to the extent Alan Dalewitz could receive fees and/or commissions and other forms of compensation that may vary from product to product (including 12b-1 trails from mutual fund products) if the client chooses to implement recommendations made while acting in his capacity as a registered representative of HJS.

The details of HJSCMs' advisory accounts and services are fully disclosed in HJSCM's Form ADV. Alan Dalewitz spends approximately 10% of his time on such duties. Therefore, the primary business of Alan Dalewitz is providing brokerage services through HJS. The client is under no obligation to purchase products or services Alan Dalewitz recommends, nor are you obligated to purchase them through him.

Alan Dalewitz as a registered representative may have incentive to recommend certain products rather than others, based on compensation received. This potential conflict of interest is addressed by HJS through communications of disclosure to clients and supervision and training of advisory representatives.

Item 5- Additional Compensation

Alan Dalewitz also receives other forms of compensation from third-party investment advisers and/or HJS when attending conferences or additional training and education events in which they attend. Individuals may attend these events without charge or may be reimbursed for travel and other related miscellaneous expenses (non-cash compensation).

Alan Dalewitz is subject to policies that prohibit the acceptance of gifts and entertainment that may influence the nature of the investment advice provided to clients. Consistent with these policies, Alan Dalewitz is permitted to receive gifts of up to \$100.

Additionally, Alan Dalewitz is subject to disclosing if he receives bonuses based on the number or amount of sales, client referrals or new accounts. Currently no such bonuses occur based on such activities or events.

Item 6 - Supervision

Alan Dalewitz conduct and activities with the public are supervised by a designated supervisory manager of HJS at or through the local branch office location, regional office and/or the Home Office. This supervision takes place through personal observation, electronic monitoring and the review of written materials and/or other appropriate practices. Additionally ongoing advisory account reviews occur with each client, monthly, quarterly, or at least annually.

Supervisor's Name and Title: John Koene, Private Wealth Management Group Co-Head,
Managing Director

Supervisor's Telephone Number: 732-590-0533

Item 7- Requirements for State-Registered Advisers

In addition to the information and events listed above, additional disclosure is required by state securities authorities.

Alan Dalewitz has not been found liable or involved in an arbitration claim or a civil, self-regulatory, or administrative proceeding involving any of the following: investments or investment advisory related; fraud, false statement or omission; theft, embezzlement or

other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices.

Alan Dalewitz has not been found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following: an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. Additionally, Alan Dalewitz has not been the subject of a bankruptcy petition.

Peter Julian (PJ)Dee, Jr.

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March 2022

This Brochure Supplement provides information about *PJ Dee, Jr.* that supplements the Herbert J. Sims Capital Management, Inc. Firm Brochure. You should have received a copy of that Brochure. Please contact our Chief Compliance Officer at (800) 527-6425 if you did not receive Herbert J. Sims Capital Management's Brochure or if you have any questions about the contents of this supplement.

Additional information about *PJ Dee, Jr.* is available on the SEC's website at www.adviserinfo.sec.gov.

PJ Dee, Jr.

Item 2- Educational Background and Business Experience

Year of birth: 1980

Formal education after high school: Graduated from Connecticut College with a B.A. in Sociology.

Business background: Joined HJ Sims in 2007. Previously with AllianceBernstein.

Professional designations: Chartered Financial Consultant ([ChFC®](#))

Item 3- Disciplinary Information

No information or events have occurred that are applicable to this Item. Registered investment advisors are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

Item 4- Other Business Activities

PJ Dee, Jr. is a registered representative and employee with Herbert J. Sims & Co., Inc. (HJS), which is a securities broker-dealer registered with Financial Industry Regulatory Authority (FINRA) and an introducing broker/dealer, registered with the National Futures Association (NFA). In his capacity as a registered representative PJ Dee, Jr. may recommend securities products and advisory services for compensation. This could present a conflict of interest to the extent PJ Dee, Jr. could receive fees and/or commissions and other forms of compensation that may vary from product to product (including 12b-1 trails from mutual fund products) if the client chooses to implement recommendations made while acting in his capacity as a registered representative of HJS.

The details of HJSCMs' advisory accounts and services are fully disclosed in HJSCM's Form ADV. PJ Dee, Jr. spends approximately 25% of his time on such duties. Therefore, the primary business of PJ Dee, Jr. is providing brokerage services through HJS. The client is under no obligation to purchase products or services PJ Dee, Jr. recommends, nor are you obligated to purchase them through him.

PJ Dee, Jr. as a registered representative may have incentive to recommend certain products rather than others, based on compensation received. This potential conflict of interest is addressed by HJS through communications of disclosure to clients and supervision and training of advisory representatives.

PJ Dee, Jr. is a licensed insurance agent authorized to sell insurance products of various insurance companies. This could present a potential conflict of interest as he

could receive commissions for selling these products. The client is under no obligation to purchase products PJ Dee, Jr. may recommend, nor are you obligated to purchase those products through him. Approximately 5% of his time is spent on insurance products.

Item 5- Additional Compensation

PJ Dee, Jr. is subject to policies that prohibit the acceptance of gifts and entertainment that may influence the nature of the investment advice provided to clients. Consistent with these policies, PJ Dee, Jr. is permitted to receive gifts of up to \$100.

Additionally, PJ Dee, Jr. is subject to disclosing if he receives bonuses based on the number or amount of sales, client referrals or new accounts. Currently no such bonuses occur based on such activities or events.

Item 6 - Supervision

PJ Dee, Jr. conduct and activities with the public are supervised by a designated supervisory manager of HJS at or through the local branch office location, regional office and/or the Home Office. This supervision takes place through personal observation, electronic monitoring and the review of written materials and/or other appropriate practices. Additionally ongoing advisory account reviews occur with each client, monthly, quarterly, or at least annually.

Supervisor's Name and Title: John Koene, Private Wealth Management Group Co-Head,
Managing Director

Supervisor's Telephone Number: 732-590-0533

Item 7- Requirements for State-Registered Advisers

In addition to the information and events listed above, additional disclosure is required by state securities authorities.

PJ Dee, Jr. has not been found liable or involved in an arbitration claim or a civil, self-regulatory, or administrative proceeding involving any of the following: investments or investment advisory related; fraud, false statement or omission; theft, embezzlement or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices.

PJ Dee, Jr. has not been found liable in a civil, self-regulatory organization, or

administrative proceeding involving any of the following: an investment or an investment- related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. Additionally, PJ Dee, Jr. has not been the subject of a bankruptcy petition.

Clifford D. Edelmann

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March 2022

This Brochure Supplement provides information about *Clifford Edelmann* that supplements the Herbert J. Sims Capital Management, Inc. Firm Brochure. You should have received a copy of that Brochure. Please contact our Chief Compliance Officer at (800) 527-6425 if you did not receive Herbert J. Sims Capital Management's Brochure or if you have any questions about the contents of this supplement.

Additional information about *Clifford Edelmann* is available on the SEC's website at www.adviserinfo.sec.gov.

Clifford Edelmann

Item 2- Educational Background and Business Experience

Year of birth: 1973

Formal education after high school: Graduated from University of Florida with a BA in Business Administration in 1995

Graduated from Wake Forest University Graduate School of Management with a MBA, Finance & Marketing in 2004

Business background: Clifford Edelmann joined HJ Sims in 2010 and focuses on building long-term client relationships by personally assisting clients with all aspects of the investment process including portfolio analysis and management. Prior to joining H.J. Sims, Clifford founded and operated a marketing consulting firm assisting professional services firms and individual clients with all aspects of the marketing and business development functions.

Item 3- Disciplinary Information

No information or events have occurred that are applicable to this Item. Registered investment advisors are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

Item 4- Other Business Activities

Clifford Edelmann is a registered representative and employee with Herbert J. Sims & Co., Inc. (HJS), which is a securities broker-dealer registered with Financial Industry Regulatory Authority (FINRA) and an introducing broker/dealer, registered with the National Futures Association (NFA). In his capacity as a registered representative Clifford Edelmann may recommend securities products and advisory services for compensation. This could present a conflict of interest to the extent Clifford Edelmann could receive fees and/or commissions and other forms of compensation that may vary from product to product (including 12b-1 trails from mutual fund products) if the client chooses to implement recommendations made while acting in his capacity as a registered representative of HJS.

The details of HJSCMs' advisory accounts and services are fully disclosed in HJSCM's Form ADV. Clifford Edelmann spends approximately 5% of his time on such duties. Therefore, the primary business of Clifford Edelmann is providing brokerage services through HJS. The client is under no obligation to purchase products or services Clifford Edelmann

recommends, nor are you obligated to purchase them through him.

Clifford Edelmann as a registered representative may have incentive to recommend certain products rather than others, based on compensation received. This potential conflict of interest is addressed by HJS through communications of disclosure to clients and supervision and training of advisory representatives.

Clifford Edelmann is a licensed insurance agent authorized to sell insurance products of various insurance companies. This could present a potential conflict of interest as he could receive commissions for selling these products. The client is under no obligation to purchase products Mr. Edelmann may recommend, nor are you obligated to purchase those products through him. Approximately 5% of his time is spent on insurance products.

Item 5- Additional Compensation

Clifford Edelmann is subject to policies that prohibit the acceptance of gifts and entertainment that may influence the nature of the investment advice provided to clients. Consistent with these policies, Clifford Edelmann is permitted to receive gifts of up to \$100.

Additionally, Clifford Edelmann is subject to disclosing if he receives bonuses based on the number or amount of sales, client referrals or new accounts. Currently no such bonuses occur based on such activities or events.

Item 6 - Supervision

Clifford Edelmann conduct and activities with the public are supervised by a designated supervisory manager of HJS at or through the local branch office location, regional office and/or the Home Office. This supervision takes place through personal observation, electronic monitoring and the review of written materials and/or other appropriate practices. Additionally, ongoing advisory account reviews occur with each client, monthly, quarterly, or at least annually.

Supervisor's Name and Title: Jonathan Jarow, Private Wealth Management Group Head,
Managing Director

Supervisor's Telephone Number: 561-6202153

Item 7- Requirements for State-Registered Advisers

In addition to the information and events listed above, additional disclosure is required by state securities authorities.

Clifford Edelmann has not been found liable or involved in an arbitration claim or a civil, self-regulatory, or administrative proceeding involving any of the following: investments or investment advisory related; fraud, false statement or omission; theft, embezzlement or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices.

Clifford Edelmann has not been found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following: an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. Additionally, Clifford Edelmann has not been the subject of a bankruptcy petition.

Raúl Juan Escudero, Esq.

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March 2022

This Brochure Supplement provides information about *Raúl Juan Escudero* that supplements the Herbert J. Sims Capital Management, Inc. Firm Brochure. You should have received a copy of that Brochure. Please contact our Chief Compliance Officer at (800) 527-6425 if you did not receive Herbert J. Sims Capital Management's Brochure or if you have any questions about the contents of this supplement.

Additional information about *Raúl Juan Escudero* is available on the SEC's website at www.adviserinfo.sec.gov.

Raúl Juan Escudero

Item 2- Educational Background and Business Experience

Year of birth: 1952

Formal education after high school: B.S. Fairfield University, 1974; J.D. Interamerican University Law School, 1977

Business background: Raúl Juan Escudero joined HJ Sims in 2018 as a Financial Advisor. He was previously with several other broker-dealers which include Santander Securities, UBS and Merrill Lynch. He also served as an Assistant District Attorney for the Puerto Rico Department of Justice; was a Special Assistant to the Governor of Puerto Rico and was the Deputy Administrator for the Economic Development Administration of Puerto Rico in NYC. In June 2021, Raul Escudero was designated as the Executive Director of HJ Sims' office in San Juan, Puerto Rico.

Professional designations: Juris Doctor, Attorney at Law (admitted to the PR Bar and the US Federal Court)

Item 3- Disciplinary Information

The advisor is noted as broker of record on customers' disputes against prior employer(s). Raul Escudero is not a named respondent to these disputes. The claims are believed to stem from the unprecedented turmoil experienced in the Puerto Rico economy. The advisor has not been asked to contribute to any settlements. The details can be found on FINRA's BrokerCheck system at www.finra.org/brokercheck.

Item 4- Other Business Activities

Raúl Juan Escudero is a registered representative and employee with Herbert J. Sims & Co., Inc. (HJS), which is a securities broker-dealer registered with Financial Industry Regulatory Authority (FINRA) and an introducing broker/dealer, registered with the National Futures Association (NFA). In his capacity as a registered representative Raúl Juan Escudero may recommend securities products and advisory services for compensation. This could present a conflict of interest to the extent Raúl Juan Escudero could receive fees and/or commissions and other forms of compensation that may vary from product to product (including 12b-1 trails from mutual fund products) if the client chooses to implement recommendations made while acting in his capacity as a registered representative of HJS.

The details of HJSCMs' advisory accounts and services are fully disclosed in HJSCM's Form ADV. Raúl Juan Escudero spends approximately 10% of his time on such duties. Therefore, the primary business of Raúl Juan Escudero is providing brokerage services through HJS. The client is under no obligation to purchase products or services Raúl Juan Escudero

recommends, nor are you obligated to purchase them through him.

Raúl Juan Escudero as a registered representative may have incentive to recommend certain products rather than others, based on compensation received. This potential conflict of interest is addressed by HJS through communications of disclosure to clients and supervision and training of advisory representatives.

Raúl Juan Escudero is also a licensed insurance agent authorized to sell insurance products of various insurance companies. This could present a potential conflict of interest as he could receive commissions for selling these products. The client is under no obligation to purchase products Raúl Juan Escudero may recommend, nor is the client obligated to purchase those products through him. Approximately 1% of his time is spent on insurance products.

Raúl Juan Escudero is also Chairman Consumer Debt Management Corporation (CDM). This is a company approved activity to which he devotes between 4-8 after-work hours per month. This activity poses no conflict with brokerage business nor client relationships.

Item 5- Additional Compensation

Raúl Juan Escudero is subject to policies that prohibit the acceptance of gifts and entertainment that may influence the nature of the investment advice provided to clients. Consistent with these policies, Raúl Juan Escudero is permitted to receive gifts of up to \$100.

Additionally, Raúl Juan Escudero is subject to disclosing if he receives bonuses based on the number or amount of sales, client referrals or new accounts. Currently no such bonuses occur based on such activities or events.

As Chairman of CDM, Raúl Juan Escudero receives a monthly compensation in exchange of general marketing and strategic advice to the company. This firm approved activity presents no conflict of interest with clients nor with his role as financial advisor at HJ Sims.

Item 6 - Supervision

Raúl Juan Escudero conduct and activities with the public are supervised by a designated supervisory manager of HJS at or through the local branch office location, regional office and/or the Home Office. This supervision takes place through personal observation, electronic monitoring and the review of written materials and/or other appropriate practices. Additionally ongoing advisory account reviews occur with each client, monthly, quarterly, or at least annually.

Supervisor's Name and Title: Mariangie Colon, Branch Manager
Supervisor's Telephone Number: 939-399-0105

Item 7- Requirements for State-Registered Advisers

In addition to the information and events listed above, additional disclosure is required by state securities authorities.

Raúl Juan Escudero has not been found liable or involved in an arbitration claim or a civil, self-regulatory, or administrative proceeding involving any of the following: investments or investment advisory related; fraud, false statement or omission; theft, embezzlement or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices.

Raúl Juan Escudero has not been found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following: an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. Additionally, Raúl Juan Escudero has not been the subject of a bankruptcy petition.

Timothy Garrettson

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March 2022

This Brochure Supplement provides information about *Timothy Garrettson* that supplements the Herbert J. Sims Capital Management, Inc. Firm Brochure. You should have received a copy of that Brochure. Please contact our Chief Compliance Officer at (800) 527-6425 if you did not receive Herbert J. Sims Capital Management's Brochure or if you have any questions about the contents of this supplement.

Additional information about *Timothy Garrettson* is available on the SEC's website at www.adviserinfo.sec.gov.

Timothy Garrettson

Item 2- Educational Background and Business Experience

Year of birth: 1956

Formal education after high school: Graduated from Long Island University, CW Post campus, with a BS in Economics and Accounting

Business background: Joined HJ Sims in 2020 as a Financial Advisor and previously was with Oppenheimer & Co. for 6 years

Item 3- Disciplinary Information

No information or events have occurred that are applicable to this Item. Registered investment advisors are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

Item 4- Other Business Activities

Timothy Garrettson is a registered representative and employee with Herbert J. Sims & Co., Inc. (HJS), which is a securities broker-dealer registered with Financial Industry Regulatory Authority (FINRA) and an introducing broker/dealer, registered with the National Futures Association (NFA). In her capacity as a registered representative Timothy Garrettson may recommend securities products and advisory services for compensation. There could present a conflict of interest to the extent Timothy Garrettson could receive fees and/or commissions and other forms of compensation that may vary from product to product (including 12b-1 trails from mutual fund products) if the client chooses to implement recommendations made while acting in his capacity as a registered representative of HJS.

The details of HJSCMs' advisory accounts and services are fully disclosed in HJSCM's Form ADV. Timothy Garrettson spends approximately 50% of his time on such duties. Timothy Garrettson also provides brokerage services through HJS. The client is under no obligation to purchase products or services Timothy Garrettson recommends.

Timothy Garrettson as a registered representative may have incentive to recommend certain products rather than others, based on compensation received. The potential conflict of interest is addressed by HJS through communications of disclosure to clients and supervision and training of advisory representatives. Timothy Garrettson is also a licensed insurance agent authorized to sell insurance products of various

insurance companies. There could present a potential conflict of interest as he could receive commissions for selling these products. The client is under no obligation to purchase products Timothy Garrettson may recommend, nor are you obligated to purchase those products through her. Approximately 10% of his time is spent on insurance products.

Item 5- Additional Compensation

Timothy Garrettson is subject to policies that prohibit the acceptance of gifts and entertainment that may influence the nature of the investment advice provided to clients. Consistent with these policies, Timothy Garrettson is permitted to receive gifts of up to \$100.

Additionally, Timothy Garrettson is subject to disclosing if she receives bonuses based on the number or amount of sales, client referrals or new accounts. Currently no such bonuses occur based on such activities or events.

Item 6 - Supervision

Timothy Garrettson conduct and activities with the public are supervised by a designated supervisory manager of HJS at or through the local branch office location, regional office and/or the Home Office. This supervision takes place through personal observation, electronic monitoring and the review of written materials and/or other appropriate practices. Additionally, ongoing advisory account reviews occur with each client, monthly, quarterly, or at least annually.

Supervisor's Name and Title: Jonathan Jarow, Private Wealth Management Group
Co-Head, Managing Director

Supervisor's Telephone Number: 561-620-2153

Item 7- Requirements for State-Registered Advisers

In addition to the information and events listed above, additional disclosure is required by state securities authorities.

Timothy Garrettson has not been found liable or involved in an arbitration claim or a civil, self- regulatory, or administrative proceeding involving any of the following: investments or investment advisory related; fraud, false statement or omission; theft, embezzlement or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices.

Timothy Garrettson has not been found liable in a civil, self-regulatory organization, or

administrative proceeding involving any of the following: an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. Additionally, Timothy Garrettson has not been the subject of a bankruptcy petition.

Stacy Goldsmith

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March 2021

This Brochure Supplement provides information about *Stacy Goldsmith* that supplements the Herbert J. Sims Capital Management, Inc. Firm Brochure. You should have received a copy of that Brochure. Please contact our Chief Compliance Officer at (800) 527-6425 if you did not receive Herbert J. Sims Capital Management's Brochure or if you have any questions about the contents of their supplement.

Additional information about *Stacy Goldsmith* is available on the SEC's website at www.adviserinfo.sec.gov.

Stacy Goldsmith

Item 2- Educational Background and Business Experience

Year of birth: 1961

Formal education after high school: Graduated from Rutgers College, Rutgers University, 1983

Business background: Joined HJ Sims in 2016 and has over 37 years of experience in the brokerage business.

Item 3- Disciplinary Information

No information or events have occurred that are applicable to this Item. Registered investment advisors are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

Item 4- Other Business Activities

Stacy Goldsmith is a registered representative and employee with Herbert J. Sims & Co., Inc. (HJS), which is a securities broker-dealer registered with Financial Industry Regulatory Authority (FINRA) and an introducing broker/dealer, registered with the National Futures Association (NFA). In her capacity as a registered representative Stacy Goldsmith may recommend securities products and advisory services for compensation. There could present a conflict of interest to the extent Stacy Goldsmith could receive fees and/or commissions and other forms of compensation that may vary from product to product (including 12b-1 trails from mutual fund products) if the client chooses to implement recommendations made while acting in her capacity as a registered representative of HJS.

The details of HJSCMs' advisory accounts and services are fully disclosed in HJSCM's Form ADV. Stacy Goldsmith spends approximately 3% of her time on such duties. Therefore, the primary business of Stacy Goldsmith is providing brokerage services through HJS. The client is under no obligation to purchase products or services Stacy Goldsmith recommends, nor are you obligated to purchase them through her.

Stacy Goldsmith as a registered representative may have incentive to recommend certain products rather than others, based on compensation received. The potential conflict of interest is addressed by HJS through communications of disclosure to clients and supervision and training of advisory representatives. Stacy Goldsmith is also a licensed insurance agent authorized to sell insurance products of various insurance companies. There could present a potential conflict of interest as she could receive

commissions for selling these products. The client is under no obligation to purchase products Stacy Goldsmith may recommend, nor are you obligated to purchase those products through her. Approximately 2% of her time is spent on insurance products.

Item 5- Additional Compensation

Stacy Goldsmith is subject to policies that prohibit the acceptance of gifts and entertainment that may influence the nature of the investment advice provided to clients. Consistent with these policies, Stacy Goldsmith is permitted to receive gifts of up to \$100.

Item 6 - Supervision

Stacy Goldsmith conduct and activities with the public are supervised by a designated supervisory manager of HJS at or through the local branch office location, regional office and/or the Home Office. This supervision takes place through personal observation, electronic monitoring and the review of written materials and/or other appropriate practices. Additionally ongoing advisory account reviews occur with each client, monthly, quarterly, or at least annually.

Supervisor's Name and Title: John Koene, Private Wealth Management Group Co-Head,
Managing Director

Supervisor's Telephone Number: 732-590-0533

Item 7- Requirements for State-Registered Advisers

In addition to the information and events listed above, additional disclosure is required by state securities authorities.

Stacy Goldsmith has not been found liable or involved in an arbitration claim or a civil, self-regulatory, or administrative proceeding involving any of the following: investments or investment advisory related; fraud, false statement or omission; theft, embezzlement or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices.

Stacy Goldsmith has not been found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following: an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. Additionally, Stacy Goldsmith has not been the subject of a bankruptcy petition.

Dana Green

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March 2022

This Brochure Supplement provides information about *Dana Green* that supplements the Herbert J. Sims Capital Management, Inc. Firm Brochure. You should have received a copy of that Brochure. Please contact our Chief Compliance Officer at (800) 527-6425 if you did not receive Herbert J. Sims Capital Management's Brochure or if you have any questions about the contents of this supplement.

Additional information about *Dana Green* is available on the SEC's website at www.adviserinfo.sec.gov.

Dana Green

Item 2- Educational Background and Business Experience

Year of birth: 1971

Formal education after high school: Attended Drexel University.

Business background: Dana Green joined HJ Sims & Co. Inc. in 2021 and has more than 12 years of experience. Before joining HJ Sims, she spent 9 years at Spear, Leeds & Kellogg as an Assistant Vice President in the clearing operations and has 3 years of retail experience most recent at HJ Sims.

Item 3- Disciplinary Information

No information or events have occurred that are applicable to this item. Registered investment advisors are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

Item 4- Other Business Activities

Dana Green is a registered representative and employee with Herbert J. Sims & Co., Inc. (HJS), which is a securities broker-dealer registered with Financial Industry Regulatory Authority (FINRA) and an introducing broker/dealer, registered with the National Futures Association (NFA). In her capacity as a registered representative Dana Green may recommend securities products and advisory services for compensation. This could present a conflict of interest to the extent Dana Green could receive fees and/or commissions and other forms of compensation that may vary from product to product (including 12b-1 trails from mutual fund products) if the client chooses to implement recommendations made while acting in her capacity as a registered representative of HJS.

The details of HJSCMs' advisory accounts and services are fully disclosed in HJSCM's Form ADV. Dana Green spends approximately 5% of her time on such duties. Therefore, the primary business of Dana Green is providing brokerage services through HJS. The client is under no obligation to purchase products or services Dana Green recommends, nor is s/he obligated to purchase them through her.

Dana Green as a registered representative may have incentive to recommend certain products rather than others, based on compensation received. This potential conflict of interest is addressed by HJS through communications of disclosure to clients and supervision and training of advisory representatives.

Item 5- Additional Compensation

Dana Green is subject to policies that prohibit the acceptance of gifts and entertainment that may influence the nature of the investment advice provided to clients. Consistent with these policies, Dana Green is permitted to receive gifts of up to \$100/year/client.

Additionally, Dana Green is subject to disclosing if she receives bonuses based on the number or amount of sales, client referrals or new accounts. Currently no such bonuses occur based on such activities or events.

Item 6 - Supervision

Dana Green conduct and activities with the public are supervised by a designated supervisory manager of HJS at or through the local branch office location, regional office and/or the Home Office. This supervision takes place through personal observation, electronic monitoring and the review of written materials and/or other appropriate practices. Additionally, ongoing advisory account reviews occur with each client, monthly, quarterly, or at least annually.

Supervisor's Name and Title: Jonathan Jarow, Private Wealth Management Group Co-Head, Managing Director

Supervisor's Telephone Number: 561-620-2153

Item 7- Requirements for State-Registered Advisers

In addition to the information and events listed above, additional disclosure is required by state securities authorities.

Dana Green has not been found liable or involved in an arbitration claim or a civil, self-regulatory, or administrative proceeding involving any of the following: investments or investment advisory related; fraud, false statement or omission; theft, embezzlement or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices.

Dana Green has not been found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following: an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. Additionally, Dana Green has not been the subject

of a bankruptcy petition.

Jonathan Jarow

CRD No. 4931964

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March 2022

This Brochure Supplement provides information about *Jonathan Jarow* that supplements the Herbert J. Sims Capital Management, Inc. Firm Brochure. You should have received a copy of that Brochure. Please contact our Chief Compliance Officer at (800) 527-6425 if you did not receive Herbert J. Sims Capital Management's Brochure or if you have any questions about the contents of this supplement.

Additional information about *Jonathan Jarow* is available on the SEC's website at www.adviserinfo.sec.gov.

Jonathan Jarow

Item 2- Educational Background and Business Experience

Year of birth: 1981

Formal education after high school: Graduated from Florida Atlantic University B.S.

Business background: Jonathan Jarow joined HJ Sims & Co. Inc. in 2016

Item 3- Disciplinary Information

No information or events have occurred that are applicable to this Item. Registered investment advisors are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

Item 4- Other Business Activities

Jonathan Jarow is a registered representative and employee with Herbert J. Sims & Co., Inc. (HJS), which is a securities broker-dealer registered with Financial Industry Regulatory Authority (FINRA) and an introducing broker/dealer, registered with the National Futures Association (NFA). In his capacity as a registered representative Jonathan Jarow may recommend securities products and advisory services for compensation. This could present a conflict of interest to the extent Jonathan Jarow could receive fees and/or commissions and other forms of compensation that may vary from product to product (including 12b-1 trails from mutual fund products) if the client chooses to implement recommendations made while acting in his capacity as a registered representative of HJS.

The details of HJSCMs' advisory accounts and services are fully disclosed in HJSCM's Form ADV. Jonathan Jarow spends approximately 5% of his time on such duties. Therefore, the primary business of Jonathan Jarow is providing brokerage services through HJS. The client is under no obligation to purchase products or services Jonathan Jarow recommends, nor are you obligated to purchase them through him.

Jonathan Jarow as a registered representative may have incentive to recommend certain products rather than others, based on compensation received. This potential conflict of interest is addressed by HJS through communications of disclosure to clients and supervision and training of advisory representatives.

Jonathan Jarow is a licensed insurance agent authorized to sell insurance products of various insurance companies. This could present a potential conflict of interest as

he could receive commissions for selling these products. The client is under no obligation to purchase products Jonathan Jarow may recommend, nor are you obligated to purchase those products through him. Approximately 1% of his time is spent on insurance products.

Item 5- Additional Compensation

Jonathan Jarow is subject to policies that prohibit the acceptance of gifts and entertainment that may influence the nature of the investment advice provided to clients. Consistent with these policies, Jonathan Jarow is permitted to receive gifts of up to \$100.

Additionally, Jonathan Jarow is subject to disclosing if he receives bonuses based on the number or amount of sales, client referrals or new accounts. Currently no such bonuses occur based on such activities or events.

Item 6 - Supervision

Jonathan Jarow conduct and activities with the public are supervised by a designated supervisory manager of HJS at or through the local branch office location, regional office and/or the Home Office. This supervision takes place through personal observation, electronic monitoring and the review of written materials and/or other appropriate practices. Additionally ongoing advisory account reviews occur with each client, monthly, quarterly, or at least annually.

Supervisor's Name and Title: Patrick Richard, Senior Vice President, Branch Manager
Supervisor's Telephone Number: 952-683-7508

Item 7- Requirements for State-Registered Advisers

In addition to the information and events listed above, additional disclosure is required by state securities authorities.

Jonathan Jarow has not been found liable or involved in an arbitration claim or a civil, self-regulatory, or administrative proceeding involving any of the following: investments or investment advisory related; fraud, false statement or omission; theft, embezzlement or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices.

Jonathan Jarow has not been found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following: an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or

dishonest, unfair, or unethical practices. Additionally, Jonathan Jarow has not been the subject of a bankruptcy petition.

Jorge Maldonado

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March 2022

This Brochure Supplement provides information about *Jorge Maldonado* that supplements the Herbert J. Sims Capital Management, Inc. Firm Brochure. You should have received a copy of that Brochure. Please contact our Chief Compliance Officer at (800) 527-6425 if you did not receive Herbert J. Sims Capital Management's Brochure or if you have any questions about the contents of this supplement.

Additional information about *Jorge Maldonado* is available on the SEC's website at www.adviserinfo.sec.gov.

Jorge Maldonado

Item 2- Educational Background and Business Experience

Year of birth: 1962

Formal education after high school: BA Business Suma Cum Laude, Universidad Interamericana de Puerto Rico

Business background: Jorge Maldonado joined HJ Sims in 2014 as a Financial Advisor. He was previously with several other broker-dealers which include RD Capital Group, OFS Securities, Oriental Financial Services and UBS Financial Services.

Item 3- Disciplinary Information

The advisor is noted as broker of record on customers' disputes against prior employer(s). Jorge Maldonado is not a named respondent to these disputes. The claims are believed to stem from the unprecedented turmoil experienced in the Puerto Rico economy. The advisor has not been asked to contribute to any settlements. The details can be found on FINRA's BrokerCheck system at www.finra.org/brokercheck.

Item 4- Other Business Activities

Jorge Maldonado is a registered representative and employee with Herbert J. Sims & Co., Inc. (HJS), which is a securities broker-dealer registered with Financial Industry Regulatory Authority (FINRA) and an introducing broker/dealer, registered with the National Futures Association (NFA). In his capacity as a registered representative Jorge Maldonado may recommend securities products and advisory services for compensation. This could present a conflict of interest to the extent Jorge Maldonado could receive fees and/or commissions and other forms of compensation that may vary from product to product (including 12b-1 trails from mutual fund products) if the client chooses to implement recommendations made while acting in his capacity as a registered representative of HJS.

The details of HJSCMs' advisory accounts and services are fully disclosed in HJSCM's Form ADV. Jorge Maldonado spends approximately 5% of his time on such duties. Therefore, the primary business of Jorge Maldonado is providing brokerage services through HJS. The client is under no obligation to purchase products or services Jorge Maldonado recommends, nor are you obligated to purchase them through him.

Jorge Maldonado as a registered representative may have incentive to recommend certain products rather than others, based on compensation received. This potential conflict of interest is addressed by HJS through communications of disclosure to clients and supervision and training of advisory representatives.

Item 5- Additional Compensation

Jorge Maldonado is subject to policies that prohibit the acceptance of gifts and entertainment that may influence the nature of the investment advice provided to clients. Consistent with these policies, Jorge Maldonado is permitted to receive gifts of up to \$100.

Additionally, Jorge Maldonado is subject to disclosing if he receives bonuses based on the number or amount of sales, client referrals or new accounts. Currently no such bonuses occur based on such activities or events.

Item 6 - Supervision

Jorge Maldonado conduct and activities with the public are supervised by a designated supervisory manager of HJS at or through the local branch office location, regional office and/or the Home Office. This supervision takes place through personal observation, electronic monitoring and the review of written materials and/or other appropriate practices. Additionally ongoing advisory account reviews occur with each client, monthly, quarterly, or at least annually.

Supervisor's Name and Title: Mariangie Colon, Branch Manager
Supervisor's Telephone Number: 939-399- 0105

Item 7- Requirements for State-Registered Advisers

In addition to the information and events listed above, additional disclosure is required by state securities authorities.

Jorge Maldonado has not been found liable or involved in an arbitration claim or a civil, self-regulatory, or administrative proceeding involving any of the following: investments or investment advisory related; fraud, false statement or omission; theft, embezzlement or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices.

Jorge Maldonado has not been found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following: an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. Additionally, Jorge Maldonado has not been the subject of a bankruptcy petition.

Elizabeth Teifer

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March 2022

This Brochure Supplement provides information about *Elizabeth Teifer* that supplements the Herbert J. Sims Capital Management, Inc. Firm Brochure. You should have received a copy of that Brochure. Please contact our Chief Compliance Officer at (800) 527-6425 if you did not receive Herbert J. Sims Capital Management's Brochure or if you have any questions about the contents of this supplement.

Additional information about *Elizabeth Teifer* is available on the SEC's website at www.adviserinfo.sec.gov.

Elizabeth Teifer

Item 2- Educational Background and Business Experience

Year of birth: 1959

Formal education after high school: Southern Illinois University, BS Accounting

Business background: Elizabeth joined the financial services industry 8 years ago, specifically to assist individuals in managing their financial assets to meet their goals. The principles of risk and asset management were paramount in her previous business experience of nearly 25 years of Product Development and Strategic Planning in the manufacturing sector.

Item 3- Disciplinary Information

No information or events have occurred that are applicable to this Item. Registered investment advisors are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

Item 4- Other Business Activities

Elizabeth Teifer is a registered representative and employee with Herbert J. Sims & Co., Inc. (HJS), which is a securities broker-dealer registered with Financial Industry Regulatory Authority (FINRA) and an introducing broker/dealer, registered with the National Futures Association (NFA). In her capacity as a registered representative Elizabeth Teifer may recommend securities products and advisory services for compensation. There could present a conflict of interest to the extent Elizabeth Teifer could receive fees and/or commissions and other forms of compensation that may vary from product to product (including 12b-1 trails from mutual fund products) if the client chooses to implement recommendations made while acting in her capacity as a registered representative of HJS.

The details of HJSCMs' advisory accounts and services are fully disclosed in HJSCM's Form ADV. Elizabeth Teifer spends approximately 15% of her time on such duties. Elizabeth Teifer also provides brokerage services through HJS. The client is under no obligation to purchase products or services Elizabeth Teifer recommends.

Elizabeth Teifer as a registered representative may have incentive to recommend certain products rather than others, based on compensation received. The potential conflict of interest is addressed by HJS through communications of disclosure to clients and supervision and training of advisory representatives. Elizabeth Teifer is also a licensed

insurance agent authorized to sell insurance products of various insurance companies. There could present a potential conflict of interest as she could receive commissions for selling these products. The client is under no obligation to purchase products Elizabeth Teifer may recommend, nor are you obligated to purchase those products through her. Approximately 10% of her time is spent on insurance products.

Item 5- Additional Compensation

Elizabeth Teifer is subject to policies that prohibit the acceptance of gifts and entertainment that may influence the nature of the investment advice provided to clients. Consistent with these policies, Elizabeth Teifer is permitted to receive gifts of up to \$100.

Additionally, Elizabeth Teifer is subject to disclosing if she receives bonuses based on the number or amount of sales, client referrals or new accounts. Currently no such bonuses occur based on such activities or events.

Item 6 - Supervision

Elizabeth Teifer conduct and activities with the public are supervised by a designated supervisory manager of HJS at or through the local branch office location, regional office and/or the Home Office. This supervision takes place through personal observation, electronic monitoring and the review of written materials and/or other appropriate practices. Additionally ongoing advisory account reviews occur with each client, monthly, quarterly, or at least annually.

Supervisor's Name and Title: John Koene, Private Wealth Management Group Co-Head,
Managing Director

Supervisor's Telephone Number: 732-590-0533

Item 7- Requirements for State-Registered Advisers

In addition to the information and events listed above, additional disclosure is required by state securities authorities.

Elizabeth Teifer has not been found liable or involved in an arbitration claim or a civil, self-regulatory, or administrative proceeding involving any of the following: investments or investment advisory related; fraud, false statement or omission; theft, embezzlement or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices.

Elizabeth Teifer has not been found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following: an investment or an investment-

related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. Additionally, Elizabeth Teifer has not been the subject of a bankruptcy petition.

Joseph Teifer

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March 2022

This Brochure Supplement provides information about *Joseph Teifer* that supplements the Herbert J. Sims Capital Management, Inc. Firm Brochure. You should have received a copy of that Brochure. Please contact our Chief Compliance Officer at (800) 527-6425 if you did not receive Herbert J. Sims Capital Management's Brochure or if you have any questions about the contents of this supplement.

Additional information about *Joseph Teifer* is available on the SEC's website at www.adviserinfo.sec.gov.

Joseph Teifer

Item 2- Educational Background and Business Experience

Year of birth: 1955

Formal education after high school: University of Michigan, Ann Arbor, BA
Economics

Business background: Joseph Teifer has 43 years of business experience including insurance claims and litigation, computer and communication technologies, technology startup companies, and financial services.

Item 3- Disciplinary Information

No information or events have occurred that are applicable to this Item. Registered investment advisors are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

Item 4- Other Business Activities

Joseph Teifer is a registered representative and employee with Herbert J. Sims & Co., Inc. (HJS), which is a securities broker-dealer registered with Financial Industry Regulatory Authority (FINRA) and an introducing broker/dealer, registered with the National Futures Association (NFA). In his capacity as a registered representative Joseph Teifer may recommend securities products and advisory services for compensation. This could present a conflict of interest to the extent Joseph Teifer could receive fees and/or commissions and other forms of compensation that may vary from product to product (including 12b-1 trails from mutual fund products) if the client chooses to implement recommendations made while acting in his capacity as a registered representative of HJS.

The details of HJSCMs' advisory accounts and services are fully disclosed in HJSCM's Form ADV. Joseph Teifer spends approximately 25% of his time on such duties. Therefore, the primary business of Joseph Teifer is providing brokerage services through HJS. The client is under no obligation to purchase products or services Joseph Teifer recommends, nor are you obligated to purchase them through him.

Joseph Teifer as a registered representative may have incentive to recommend certain products rather than others, based on compensation received. This potential conflict of interest is addressed by HJS through communications of disclosure to clients and supervision and training of advisory representatives.

Joseph Teifer is a licensed insurance agent authorized to sell insurance products of various insurance companies. This could present a potential conflict of interest as he could receive commissions for selling these products. The client is under no obligation to purchase products Joseph Teifer may recommend, nor are you obligated to purchase those products through him. Approximately 15% of his time is spent on insurance products.

Item 5- Additional Compensation

Joseph Teifer is subject to policies that prohibit the acceptance of gifts and entertainment that may influence the nature of the investment advice provided to clients. Consistent with these policies, Joseph Teifer is permitted to receive gifts of up to \$100.

Additionally, Joseph Teifer is subject to disclosing if he receives bonuses based on the number or amount of sales, client referrals or new accounts. Currently no such bonuses occur based on such activities or events.

Item 6 - Supervision

Joseph Teifer conduct and activities with the public are supervised by a designated supervisory manager of HJS at or through the local branch office location, regional office and/or the Home Office. This supervision takes place through personal observation, electronic monitoring and the review of written materials and/or other appropriate practices. Additionally ongoing advisory account reviews occur with each client, monthly, quarterly, or at least annually.

Supervisor's Name and Title: John Koene, Private Wealth Management Group Co-Head,
Managing Director

Supervisor's Telephone Number: 732-590-0533

Item 7- Requirements for State-Registered Advisers

In addition to the information and events listed above, additional disclosure is required by state securities authorities.

Joseph Teifer has not been found liable or involved in an arbitration claim or a civil, self-regulatory, or administrative proceeding involving any of the following: investments or investment advisory related; fraud, false statement or omission; theft, embezzlement or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices.

Joseph Teifer has not been found liable in a civil, self-regulatory organization, or

administrative proceeding involving any of the following: an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. Additionally, Joseph Teifer has not been the subject of a bankruptcy petition.

Michael Reed Torre

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March 2022

This Brochure Supplement provides information about Michael Torre that supplements the Herbert J. Sims Capital Management, Inc. Firm Brochure. You should have received a copy of that Brochure. Please contact our Chief Compliance officer at (800) 527-6425 if you did not receive Herbert J. Sims Capital Management's Brochure or if you have any questions about the contents of this supplement.

Additional information about Michael Torre is available on the SEC's website at www.adviserinfo.sec.gov.

Michael Torre

Item 2- Educational Background and Business Experience

Year of birth: 1964

Formal education after high school: St. Francis College

Business background: Financial Advisor

Item 3- Disciplinary Information

No information or events have occurred that are applicable to this Item. Registered investment advisors are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

Item 4- Other Business Activities

Michael Torre is a registered representative and employee with Herbert J. Sims & Co., Inc (HJS), which is a securities broker dealer registered with Financial Industry Regulatory Authority (FINRA) and an introducing broker registered with the National Futures Association (NFA). In his capacity as a registered representative Michael Torre may recommend securities products and advisory services for compensation. This could present a conflict of interest to the extent Michael Torre could receive fees and/or commissions and other forms of compensation that may vary from product to product (including 12b-1 trails from mutual fund products) if the client chooses to implement recommendations made while acting in his capacity as a registered representative of HJS.

The details of HJSCMs' advisory accounts and services are fully disclosed in HJSCM's Form ADV. Michael Torre spends approximately 15% of his time on such duties. Therefore, the primary business of Michael Torre is providing brokerage services through HJS. The client is under no obligation to purchase products or services Michael Torre recommends, nor is he obligated to purchase them through him.

Michael Torre as a registered representative may have incentive to recommend certain products rather than others, based on compensation received. This potential conflict of interest is addressed by HJS through communications of disclosure to clients and supervision and training of advisory representatives.

Michael Torre is a licensed insurance agent authorized to sell insurance products of various insurance companies. This could present a potential conflict of interest as he could receive commissions for selling these products. The client is under no obligation to purchase products Michael Torre may recommend, nor are you obligated to purchase those products through him. Approximately less than 5% of his time is spent on insurance products.

Item 5- Additional Compensation

Michael Torre is subject to policies that prohibit the acceptance of gifts and entertainment that may influence the nature of the investment advice provided to clients. Consistent with these policies, Michael Torre is permitted to receive gifts of up to \$100.

Additionally, Michael Torre is subject to disclosing if they receive bonuses based on the number or amount of sales, client referrals or new accounts. Currently no such bonuses occur based on such activities or events.

Item 6 - Supervision

Michael Torre conduct and activities with the public are supervised by a designated supervisory manager of HJS at or through the local branch office location, regional office and/or the Home Office. This supervision takes place through personal observation, electronic monitoring and the review of written materials and/or other appropriate practices. Additionally, ongoing advisory account reviews occur with each client, monthly, quarterly, or at least annually.

Supervisor's Name and Title: Jonathan Jarow, Private Wealth Management Group Co-Head, Managing Director

Supervisor's Telephone Number: 561-620-2153

Item 7- Requirements for State-Registered Advisers

In addition to the information and events listed above, additional disclosure is required by state securities authorities.

Michael Torre has not been found liable or involved in an arbitration claim or a civil, self-regulatory, or administrative proceeding involving any of the following: investments or investment advisory related; fraud, false statement or omission; theft, embezzlement or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices.

Michael Torre has not been found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following: an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. Additionally, Michael Torre has not been the subject of a bankruptcy petition.

Geoffrey von der Linden

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March 2022

This Brochure Supplement provides information about *Geoffrey von der Linden* that supplements the Herbert J. Sims Capital Management, Inc. Firm Brochure. You should have received a copy of that Brochure. Please contact our Chief Compliance Officer at (800) 527-6425 if you did not receive Herbert J. Sims Capital Management's Brochure or if you have any questions about the contents of this supplement.

Additional information about *Geoffrey von der Linden* is available on the SEC's website at www.adviserinfo.sec.gov.

Geoffrey von der Linden

Item 2- Educational Background and Business Experience

Year of birth: 1969

Formal education after high school: Graduated from Lehigh University with a Bachelor's in Business Administration in 1993

Business background: Geoffrey von der Linden has been in the financial services industry for 15 years. He joined HJ Sims & Co. Inc. in 2019 and currently is a Senior Vice President.

Item 3- Disciplinary Information

No information or events have occurred that are applicable to this Item. Registered investment advisors are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

Item 4- Other Business Activities

Geoffrey von der Linden is a registered representative and employee with Herbert J. Sims & Co., Inc. (HJS), which is a securities broker-dealer registered with Financial Industry Regulatory Authority (FINRA) and an introducing broker/dealer, registered with the National Futures Association (NFA). In his capacity as a registered representative Geoffrey von der Linden may recommend securities products and advisory services for compensation. This could present a conflict of interest to the extent Geoffrey von der Linden could receive fees and/or commissions and other forms of compensation that may vary from product to product (including 12b-1 trails from mutual fund products) if the client chooses to implement recommendations made while acting in his capacity as a registered representative of HJS.

The details of HJSCMs' advisory accounts and services are fully disclosed in HJSCM's Form ADV. Geoffrey von der Linden spends approximately 15% of his time on such duties. Therefore, the primary business of Geoffrey von der Linden is providing brokerage services through HJS. The client is under no obligation to purchase products or services Geoffrey von der Linden recommends, nor are you obligated to purchase them through him.

Geoffrey von der Linden as a registered representative may have incentive to recommend certain products rather than others, based on compensation received. This potential conflict of interest is addressed by HJS through communications of disclosure to clients and supervision and training of advisory representatives.

Geoffrey von der Linden is a licensed insurance agent authorized to sell insurance products of various insurance companies. This could present a potential conflict of interest as he could receive commissions for selling these products. The client is under no obligation to purchase products Geoffrey von der Linden may recommend, nor are you obligated to purchase those products through him. Approximately 5% of his time is spent on insurance products.

Item 5- Additional Compensation

Geoffrey von der Linden is subject to policies that prohibit the acceptance of gifts and entertainment that may influence the nature of the investment advice provided to clients. Consistent with these policies, Geoffrey von der Linden is permitted to receive gifts of up to \$100.

Additionally, Geoffrey von der Linden is subject to disclosing if he receives bonuses based on the number or amount of sales, client referrals or new accounts. Currently no such bonuses occur based on such activities or events.

Item 6 - Supervision

Geoffrey von der Linden conduct and activities with the public are supervised by a designated supervisory manager of HJS at or through the local branch office location, regional office and/or the Home Office. This supervision takes place through personal observation, electronic monitoring and the review of written materials and/or other appropriate practices. Additionally ongoing advisory account reviews occur with each client, monthly, quarterly, or at least annually.

Supervisor's Name and Title: John Koene, Private Wealth Management Group Co-Head, Managing Director

Supervisor's Telephone Number: 732-590-0533

Item 7- Requirements for State-Registered Advisers

In addition to the information and events listed above, additional disclosure is required by state securities authorities.

Geoffrey von der Linden has not been found liable or involved in an arbitration claim or a civil, self- regulatory, or administrative proceeding involving any of the following: investments or investment advisory related; fraud, false statement or omission; theft, embezzlement or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices.

Geoffrey von der Linden has not been found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following: an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. Additionally, Geoffrey von der Linden has not been the subject of a bankruptcy petition.