

Sophisticated Investments for the Elite Investor



An Alternative Approach.

How do *you* define income?

At HJ Sims, we challenge the customary definition of “income.” With dependable advice and efficient execution, we have redefined income as a leader in tax-exempt and taxable securities, private placements and other alternative investments. Whether it means possibly generating income from dividend-paying stocks, or earning interest from individual bonds, we evaluate and recommend a diverse range of investment strategies – helping you earn the income you need to meet your financial and lifestyle goals.

Exclusive Investments in Specialty Municipal Finance

We believe you have a distinct advantage when your portfolio is invested in individual bonds, rather than exclusively in large bond funds. With HJ Sims, not only do you have access to an entire universe of potential income-generating offerings, you are exclusively invited to invest in specialty municipal issues that have been underwritten by our investment banking team and uniquely crafted by our experts – investments that come with rigorous in-house due diligence and often entice our colleagues to invest their own funds. Large institutions typically wait for these same bonds. As our client, you are first in line.

Private Placements

Is your portfolio not performing to your expectations? Is there a void in your asset classes? Private Placement investments, frequently higher risk and higher yielding, offer a sophisticated product class for the qualified investor. Private Placements are illiquid and speculative investments and complete loss of principal may occur. Our Private Placements are designed to pay interest and feature best-efforts liquidity; however there is no guarantee of liquidity or performance. Private Placements are only available through HJ Sims, the broker-dealer.

Alternative Investments

In addition to Private Placements, we deliver a range of alternative investment strategies and products. Alternative investments, such as private equity, hedge funds and alternative real estate investment opportunities provide for added diversification of your portfolio. No matter the investment vehicle, we work tirelessly to provide first-class service and sophisticated strategies for the accredited investor.

We recognize that your financial situation is as unique as your game plan. We work with you, respecting your investment IQ, while relying on our pioneering spirit for innovation and deep expertise to structure your portfolio, accordingly.

HJ Sims is a SEC registered broker-dealer, a member of FINRA, SIPC and is affiliated and under common ownership and control with a state registered investment advisor: Herbert J. Sims Capital Management, Inc. (HJSCM). All investments bear the risk of partial or complete loss of capital. Past performance is not an indication of future results. Private Placements are exclusively available through HJ Sims, the broker-dealer. This material has been prepared and is distributed solely for informational purposes and is not a solicitation or an offer to buy or sell any security or instrument or to participate in any trading or invest strategy.



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