

Changing the Face of Investing



Yes, it's a financial industry.
But it's a people business.

Our History and Identity

An independently run and privately owned wealth management firm, HJ Sims has an extensive history managing wealth and helping to generate income for our clients. Infused with a pioneering spirit, HJ Sims has been helping individuals and organizations realize their potential since 1935.

Our founder, Herbert J. "Herb" Sims, was an innovative and revolutionary thinker. In the midst of the Great Depression, Herb opened a one room investment office with money loaned from an influential venture capitalist – his mom.

Herb saw enormous potential to create jobs and support important infrastructure – like gas energy systems, bridges and causeways. He identified high-yield instruments that delivered when others defaulted. He shared insights that transformed a small office into a team of investment banking and wealth management experts. Herb built our company on teamwork, diversity and mutual respect.

Our Legacy

"Work hard, do your homework, talk straight and produce results." Those were the words our founder lived by. With this foundation in mind, HJ Sims has fostered a culture of original thinking and a willingness to challenge the status quo.

As one of America's most tenured financial services firms, we remain true to our founding principles and a long tradition of loyalty, teamwork, integrity and expertise – this is our legacy. The name on our door is a continuing reminder of where we came from – and of where we are going.

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.



Connecticut (Fairfield) | Cathy Vancho | 2150 Post Road, Suite 301 | Fairfield, CT 06824 | 203.418.9000 / 800.221.9437 | Banking Fax: 203.256.2377 |
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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.

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Enriching Your Journey



Advanced Strategies and Custom Solutions.

On your own terms

At HJ Sims, we evaluate your individual situation and distinct aspirations to help position you to enjoy your desired lifestyle. We also recognize that retirement is neither traditional, nor is it dictated by a calendar or specific age – it's a mindset, a second-act and an opportunity for a new journey. You are more interested in pursuing your passions and creating a lifestyle to match your mindset. This is about your personal growth, identity, freedom and flexibility.

Whether your investment goal is to save for milestones or retirement, your HJ Sims financial professional crafts the right portfolio for you. Our wealth experts work tirelessly to construct a portfolio that helps to enrich your life and the lives of your family members for years to come.

It's your adventure

Perhaps, you are ready to start your own business, delve into some freelance work and set your own schedule. Be your own boss. Maybe, you would like to have flexibility so you can embark on a new adventure, spend time enjoying

vibrant and cultural activities, as well as minding your health and wellness by being active. Or simply, spend more time with your family and friends. Planning for your journey should be exciting, freeing and empowering.

Spend your time living your best life

We understand that you are busy enjoying life – and require an established wealth management firm to manage your assets. Applying our holistic wealth management approach, with your input, we map out your journey, managing your wealth. We stress test scenarios so you are prepared for market volatility and offer insight as to how your portfolio will work for you in real-time. You will find streamlined, expert advice paired with a creative approach, and custom investment products and advanced solutions that align with your vision.

At HJ Sims, we hear you. Yes, we are experts, but more importantly, we are your partner. We work with you and for you – collaborating toward a tangible goal – so you can spend your time living your best life.

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entirement[®]



We take your entire picture into account.
It makes all the difference.

The HJ Sims Difference

Deep insight and a passion for helping our clients succeed; this is one of the many reasons clients have relied on us across generations. But, what makes us different? What sets us apart in an increasingly crowded marketplace? With your goals in mind, we construct an investment portfolio that works best for you...at any life stage.

Through our wealth management investment strategies, in tandem with our innovative and exclusive income-generating investments, we help to position you for market trends and opportunities in all economic environments.

It's Not Just about Retirement

We enjoy watching our clients' families grow, along with their assets. We ask the right questions – but more importantly, we listen – to determine the long-term plan that works best for you. Whether you are investing for retirement or other special milestones, we uncover investment opportunities that other firms may overlook.

Why invest in just stocks or mutual funds when your portfolio holds so much more potential? We offer in-house holistic wealth management, examining equities, individual high-yield instruments, alternative investment strategies, portfolio management and more – helping you leverage the potential within the market, adjusting your portfolio to meet current conditions and better protect your assets. We look at the entire picture. That's entirement[®].



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