

Steven Sapirstein  
CRD NUMBER 2014526  
2700 N. Military Trail, Suite 400  
Boca Raton, FL 33431  
ssapirstein@hjsims.com

Herbert J. Sims Capital Management, Inc.

CRD No. 134510  
2150 Post Road, Suite 301  
Fairfield, CT 06824

(203) 418-9000

[www.hjsims.com](http://www.hjsims.com)

FEBRUARY 2025

**This Brochure Supplement provides information about *Steven Sapirstein* 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 Sapirstein* is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)**

Steven Sapirstein

## ITEM 2. EDUCATIONAL BACKGROUND and BUSINESS EXPERIENCE

**Year of Birth:** 1945

**Formal education after high school:** New York University Stern School of Business....BS, 1968  
Iona College Graduate School of Business...MBA 1978

**Business background:** Stoeber Glass Wealth Management...2016-2025..Branch Manager Sr. VP  
Janney Montgomery Scott....2013-2016...Senior vice President  
Raymond James & Associates...2012-2013...Senior Vice President  
Morgan Stanley Smith Barney.....2009-2012...Branch Manger Sr. VP  
Citigroup Global Markets...1999-2009..Complex Branch Manager Sr. VP  
Paine Webber Inc...1993-1999...Branch Manager...Sr. Vice President  
Merrill Lynch Pierce Fenner & Smith....1990-1993 Account Executive...VP

**Professional Designation:** Master of Business Administration (MBA)

Chartered Retirement Planning Counselor ([CRPC®](#))

## 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 Sapirstein 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 Sapirstein may recommend securities products and advisory services for compensation. This could present a conflict of interest to the extent Steven Sapirstein 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 Sapirstein spends approximately **90%** of his time on such duties. Therefore, the primary business of Steven Sapirstein is providing advisory services through HJSCM. The client is under no obligation to purchase products or services Steven Sapirstein recommends through HJS, nor are you obligated to purchase them through him.*

*Steven Sapirstein 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 Sapirstein 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 Steven Sapirstein 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**

*Steven Sapirstein 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 Sapirstein is permitted to receive gifts of up to \$100.*

*Additionally, Steven Sapirstein 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 Sapirstein's 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.

*Steven Sapirstein 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 Sapirstein 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 Sapirstein has **not** been the subject of a bankruptcy petition.*