

# Dana Green

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# Herbert J. Sims Capital Management, Inc.

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**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](http://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:**

Herbert J. Sims Capital Management	Investment Advisor	6/2021 - Present
Herbert J. Sims	Registered Rep	6/2021 - Present
Janney Montgomery Scott LLC	Registered PCA	7/2020 - 6/2021
David Lerner Associates	Investment Counselor	10/2019 - 4/2020
Spear, Leeds & Kellogg, L.P.	Ass't VP Clearing Operations	2/1994 - 4/2003

***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). 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 she 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***

NONE

***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.