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144

COVER LETTER

TO: New Filing Section
Division of Corporations

SUBJECT: Herbert J. Sims Capital Management, Inc.

Name of corporation - must include suffix

Dear Sir or Madam:

The enclosed "Application by Foreign Corporation for Authorization to Transact Business in Florida," "Certificate of Existence," or "Certificate of Good Standing" and check are submitted to register the above referenced foreign corporation to transact business in Florida.

Please return all correspondence concerning this matter to the following:

Courtney Hurczyn

Name of Person

HJ Sims

Firm/Company

2150 Post Road, Suite 301

Address

Fairfield, CT 06824

City/State and Zip code

churczyn@hjsims.com

E-mail address: (to be used for future annual report notification)

For further information concerning this matter, please call:

Courtney Hurczyn

Name of Person

at (203) 418-9023

Area Code & Daytime Telephone Number

STREET/COURIER ADDRESS:

New Filing Section
Division of Corporations
Clifton Building
2661 Executive Center Circle
Tallahassee, FL 32301

MAILING ADDRESS:

New Filing Section
Division of Corporations
P.O. Box 6327
Tallahassee, FL 32314

Enclosed is a check for the following amount:

- | | | | |
|--|--|---|---|
| <input checked="" type="checkbox"/> \$70.00 Filing Fee | <input type="checkbox"/> \$78.75 Filing Fee &
Certificate of Status | <input type="checkbox"/> \$78.75 Filing Fee &
Certified Copy | <input type="checkbox"/> \$87.50 Filing Fee,
Certificate of Status &
Certified Copy |
|--|--|---|---|

**APPLICATION BY FOREIGN CORPORATION FOR AUTHORIZATION TO TRANSACT
BUSINESS IN FLORIDA**

*IN COMPLIANCE WITH SECTION 607.1503, FLORIDA STATUTES, THE FOLLOWING IS SUBMITTED TO
REGISTER A FOREIGN CORPORATION TO TRANSACT BUSINESS IN THE STATE OF FLORIDA.*

1. **Herbert J. Sims Capital Management, Inc.**

(Enter name of corporation; must include "INCORPORATED," "COMPANY," "CORPORATION,"
"Inc.," "Co.," "Corp.," "Inc.," "Co.," or "Corp.")

(If name unavailable in Florida, enter alternate corporate name adopted for the purpose of transacting business in Florida)

2. **Connecticut** 3. **061499360**

(State or country under the law of which it is incorporated)

(FEI number, if applicable)

4. **Nov. 6, 1995** 5. **Perpetual**

(Date of incorporation)

(Duration: Year corp. will cease to exist or "perpetual")

6. _____
(Date first transacted business in Florida, if prior to registration)

(SEE SECTIONS 607.1501 & 607.1502, F.S., to determine penalty liability)

7. **2150 Post Road, Suite 301, Fairfield, CT 06824**

(Principal office address)

2150 Post Road, Suite 301, Fairfield, CT 06824

(Current mailing address)

8. **To engage in the business of investment advisory services, including offering insurance products**

(Purpose(s) of corporation authorized in home state or country to be carried out in state of Florida)

9. Name and street address of Florida registered agent: (P.O. Box NOT acceptable)

Name: **R. Jeffrey Sands**

Office Address: **7575 Dr. Phillips Blvd., Suite 225**

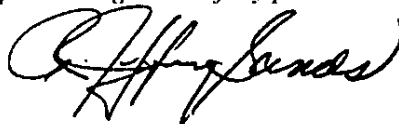
Orlando, Florida **32819**

(City)

(Zip code)

10. Registered agent's acceptance:

Having been named as registered agent and to accept service of process for the above stated corporation at the place designated in this application, I hereby accept the appointment as registered agent and agree to act in this capacity. I further agree to comply with the provisions of all statutes relative to the proper and complete performance of my duties, and I am familiar with and accept the obligations of my position as registered agent.



(Registered agent's signature)

11. Attached is a certificate of existence duly authenticated, not more than 90 days prior to delivery of this application to the Department of State, by the Secretary of State or other official having custody of corporate records in the jurisdiction under the law of which it is incorporated.

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12. Names and business addresses of officers and/or directors:

A. DIRECTORS

Chairman: William B. Sims

Address: 2150 Post Road, Suite 301

Fairfield, CT 06824

Vice Chairman: _____

Address: _____

Director: R. Jeffrey Sands

Address: 2150 Post Road, Suite 301

Fairfield, CT 06824

Director: Jason Diamond

Address: 2150 Post Road, Suite 301

Fairfield, CT 06824

B. OFFICERS

President: William B. Sims

Address: 2150 Post Road, Suite 301

Fairfield, CT 06824

Vice President: _____

Address: _____

Secretary: R. Jeffrey Sands

Address: 2150 Post Road, Suite 301, Fairfield, CT 06824

Treasurer: Jason Diamond

Address: 2150 Post Road, Suite 301, Fairfield, CT 06824

NOTE: If necessary, you may attach an addendum to the application listing additional officers and/or directors.

13.  Signature of Director or Officer

The officer or director signing this document (and who is listed in number 12 above) affirms that the facts stated herein are true and that he or she is aware that false information submitted in a document to the Department of State constitutes a third degree felony as provided for in s.817.155, F.S.

14. R. Jeffrey Sands

(Typed or printed name and capacity of person signing application)

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**ADDENDUM TO THE APPLICATION
FOR HERBERT J. SIMS CAPITAL MANAGEMENT, INC.
ADDITIONAL OFFICERS AND/OR DIRECTORS**

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B. OFFICERS

Vice President of Insurance Products: Corey Franco

Address: 2150 Post Road, Suite 301
Fairfield, CT 06824

Office of the Secretary of the State of Connecticut

I, the Connecticut Secretary of the State, and keeper of the seal thereof,
DO HEREBY CERTIFY, that the certificate of incorporation of

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HERBERT J. SIMS CAPITAL MANAGEMENT, INC.

a domestic STOCK corporation, was filed in this office on November 06, 1995, a certificate of dissolution has not been filed, the corporation has filed all annual reports, and so far as indicated by the records of this office such corporation is in existence.



Secretary of the State

Date Issued: January 23, 2014