



IAPD Report

CORY KENNETH SIMS

CRD# 6099496

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Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

CORY KENNETH SIMS (CRD# 6099496)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **11/01/2024**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA SIMS INVESTMENT MANAGEMENT LLC	CRD# 169491	12/04/2013

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration. Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

FIRM	CRD#	LOCATION	REGISTRATION DATES
IA VALHALLA INVESTMENT ADVISORY, INC.	111534	CINCINNATI, OH	10/09/2012 - 12/31/2013

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **3** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **SIMS INVESTMENT MANAGEMENT LLC**
Main Address: 3322 ERIE AVE.
SUITE 200
CINCINNATI, OH 45208
Firm ID#: 169491

	Regulator	Registration	Status	Date
IA	Louisiana	Investment Adviser Representative	Approved	07/19/2021
IA	Ohio	Investment Adviser Representative	Approved	12/04/2013
IA	Texas	Investment Adviser Representative	Restricted Approval	08/14/2019

Branch Office Locations

SIMS INVESTMENT MANAGEMENT LLC
3322 ERIE AVE.
SUITE 200
CINCINNATI, OH 45208



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 0 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	10/04/2012
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	10/09/2012 - 12/31/2013	VALHALLA INVESTMENT ADVISORY, INC.	CRD# 111534	CINCINNATI, OH

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2024 - Present	Compassionate Justice	Investment Committee Member	N	Cincinnati, OH, United States
05/2024 - Present	Garage Beer Holdco, LLC	Member	Y	Rocky River, OH, United States
01/2024 - Present	TODDCARES, Inc.	Advisor	N	Wilmington, DE, United States
12/2023 - Present	Winnie Capital, LLC	Senior Advisor	Y	Philadelphia, PA, United States
10/2023 - Present	CEC Real Estate, LLC	Managing Member	Y	Cincinnati, OH, United States
09/2023 - Present	Baehr & Company, LLC	Member	Y	Philadelphia, PA, United States
02/2021 - Present	(Be)Philly	Board Member	N	Philadelphia, PA, United States
11/2013 - Present	SIMS INVESTMENT MANAGEMENT, LLC	MANAGING MEMBER, INVESTMENT ADVISOR REPRESENTATIVE	Y	CINCINNATI, OH, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

10/2023 to Present - CEC Real Estate, LLC - 3322 Erie Ave, Cincinnati, OH 45208 - Real Property Investment and Building Management - Managing Member - Created to invest in Sims Investment Management's office location and generate rental income from tenants in other offices in the building; 05 hours per month dedicated to the activity and 01 hours during securities trading hours

02/2021 to Present - Be(Philly) - 1516 N 5th St, Unit 506, Philadelphia, PA 19122 - Non-profit foundation for fighting for a brighter future of the next generation of Philadelphians - Board Member - 05 hours per month dedicated to the activity and 00 hours during securities trading hours.

09/2023 to Present - Baehr & Company, LLC - 1516 N 5th St, Unit 506, Philadelphia, PA 19122 - Real Estate Development



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Company - Member - 05 hours per month dedicated to the activity and 00 hours during securities trading hours.

12/2023 to Present - Winnie Capital, LLC - 1735 Market ST, 51st Floor, Philadelphia, PA 19103 - Holding Company - Senior Advisor - 05 hours per month dedicated to the activity and 00 hours during securities trading hours.

01/2024 to Present - TODDCARES, Inc. - Corporation Trust Center 1209 Orange St. Wilmington, DE 19801 - Estate Planning Platform - Advisor - Mr. Sims will occasionally advise the company and meet with employees, consultants officers, managers and third parties; reviewing goals of the company and assist in developing strategies for achieving such goals, and providing, without limitation, advice, support, and feedback with respect to the company's business and/or product development activities; and providing other consulting services to the company. 05 hours per month are dedicated to this activity, while 00 hours are dedicated during securities trading hours.

05/2024 to Present - Garage Beer Holdco, LLC - 19885 Detroit Road, Suite 115, Rocky River, Ohio 44116 - Holding Company - Member - 05 hours per month dedicated to the activity and 00 hours during securities trading hours.

7/2024 to Present - Compassionate Justice , 11199 Montgomery Rd, Cincinnati, OH 45249 - Non-Profit Foundation - We are compelled by God to build His Kingdom as we "develop thriving Christ centered communities" in the impoverished inner City neighborhoods of Cincinnati - Investment Committee Member - 05 hours per month dedicated to the activity and 00 hours during securities trading hours.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	OHIO DIVISION OF SECURITIES
Sanction(s) Sought:	Cease and Desist Disgorgement
Date Initiated:	12/03/2013
Docket/Case Number:	13-037
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	VALHALLA INVESTMENT ADVISORY, INC.
Product Type:	No Product
Allegations:	SIMS ACTED AS INVESTMENT ADVISER REPRESENTATIVE BETWEEN JULY 20, 2012 AND OCTOBER 9, 2012, WHEN HE WAS NOT LICENSED TO DO SO IN OHIO.
Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	12/03/2013



Sanctions Ordered: Cease and Desist
Disgorgement
Other: FOR 5 YEARS MAINTAIN PROOF OF REPAYMENT, COMPENSATION EARNED, AND WHERE LICENSED.

Monetary Sanction 1 of 1

Monetary Related Sanction: Disgorgement

Total Amount: \$268.61

Portion Levied against individual: \$268.61

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement BETWEEN JULY 20, 2012 AND OCTOBER 9, 2012, SIMS PERFORMED UNLICENSED INVESTMENT ADVISER REPRESENTATION TO INVESTORS IN VIOLATION OF R.C. 1707.44(A)(2) AS IT INCORPORATES R.C. 1707.161(A). SIMS WAS ORDERED TO REPAY THESE INVESTORS THE COMPENSATION HE EARNED AND RECEIVED WITHIN 30 DAYS OF DEC. 3, 2013; I.E., \$268.61.

Reporting Source: Individual

Regulatory Action Initiated By: OHIO DIVISION OF SECURITIES

Sanction(s) Sought: Cease and Desist

Date Initiated: 01/10/2013

Docket/Case Number: 13-037

Employing firm when activity occurred which led to the regulatory action: VALHALLA INVESTMENT ADVISORY

Product Type: No Product

Allegations: MR. SIMS ACCEPTED COMPENSATION OF \$268.61 WHILE NOT APPROVED AS AN INVESTMENT ADVISOR REPRESENTATIVE FROM JULY 20, 2012 - OCTOBER 9 2012. MR. SIMS WAS ORDERED TO CEASE AND DESIST OF UNLICENSED ACTIVITY AND TO REFUND THE MONIES TO THE CLIENTS AFFECTED AND AGREED TO DO SO WITHIN 30 DAYS OF THE SIGNED CONSENT ORDER.

Current Status: Final

Resolution: Consent



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	12/04/2013
Sanctions Ordered:	Cease and Desist Restitution Other: MR. SIMS MUST RETAIN RECORD FOR FIVE YEARS THAT HE REFUNDED THE \$268.61 TO THE CLIENTS AFFECTED.
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Restitution
Total Amount:	\$268.61
Portion Levied against individual:	\$268.61
Payment Plan:	LUMP SUM
Is Payment Plan Current:	Yes
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	



End of Report

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