



## Form ADV Part 2A – Firm Brochure

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This brochure provides information about the qualifications and business practices of Cookson Peirce & Co., Inc.. If you have any questions about the contents of this brochure, please contact us at: (866) 655-2455, or e-mail [rm@cooksonpeirce.com](mailto:rm@cooksonpeirce.com). The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission, or by any state securities authority. The brochure also includes the Part 2B Supplements.

Additional information about Cookson Peirce & Co., Inc. is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). The firm can be searched for by using CRD/IARD #110729.

Cookson Peirce & Co., Inc. is a SEC-registered investment adviser and the term "registered investment adviser" or "registered" may be used through this Form ADV Part 2A, but is not intended to imply a certain level of skill or training.

## **Material Changes**

### **Annual Update**

The Material Changes section of this brochure will be updated annually and/or when material changes occur since the previous release of the Firm Brochure. A summary of changes is necessary to inform clients of any substantive changes to the Firm's policies, practices or conflicts of interests so that they can determine whether to review the brochure in its entirety or to contact the Firm with questions about the changes.

### **Material Changes since the Last Update**

No Material changes since the last update.

### **Full Brochure Available**

Whenever you would like to receive a complete copy of our Firm Brochure, please contact us by telephone at (412) 471-5320 or by email at [rm@cooksonpeirce.com](mailto:rm@cooksonpeirce.com).

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## **Item 4 – Advisory Business**

Cookson Peirce & Co., Inc. (CooksonPeirce Wealth Management) is a fee-only money management firm founded in June 1984. We provide wealth management services to private clients consisting of high-net worth individuals, trusts, endowments, pensions and foundations. We also provide asset management services to professional advisors at financial institutions. Our services for private clients include the management of portfolios of stocks, exchange-traded funds (ETFs), and bonds. We also provide ancillary advice on financial, tax, and retirement planning issues. Our services for professional advisors are restricted to the management of stock and ETF portfolios.

We utilized a quantitative selection methodology to eliminate subjective and emotional decision making. The security selection methodology is highly replicable and produces clear buy, hold and sell recommendations for every security monitored in our database. These rankings are utilized to create unconstrained investment portfolios which aim to tactically allocate towards those areas of the market ranked to outperform. CooksonPeirce serves as a portfolio manager in a number of wrap fee programs. The list of programs includes, but is not limited to: (i) Raymond James' Consulting Services Program; (ii) Morgan Stanley's MAC Program; (iii) UBS Financials' Managed Accounts Consulting Program; (iv) RBS's MAP Program; (v) Mid Atlantic Capital Group, Inc.'s Mid Atlantic Portfolio Solutions Program; and (vi) Boenning & Scattergood's Private Advisor Network Program. These wrap fee programs are arrangements in which investment advisory service, brokerage execution services and custody are provided by a sponsor for a single predetermined "wrap" fee (regardless of the number of trades completed by a client). Generally, clients participating in a wrap fee program ("Wrap Program Clients") pay this single, all-inclusive fee quarterly in advance to the program sponsor, based on the net assets under management. CooksonPeirce receives from the program sponsor a portion of the wrap fee for the portfolio management services it provides. Each program sponsor has prepared a brochure which contains detailed information about its wrap fee program, including the wrap fee charged. Copies of each brochure are available from the program sponsor upon request. Each wrap program sponsor has retained CooksonPeirce through a separate investment advisory contract. Wrap Program Clients should note that CooksonPeirce will execute transactions for their accounts through the Wrap Sponsor. Transactions executed through a Wrap Sponsor may be less favorable in some respects than CooksonPeirce's clients whose trades are not executed through the Wrap Sponsor. This is because CooksonPeirce may have no ability to negotiate price or take advantage of combined orders or volume discounts. CooksonPeirce may be constrained in obtaining best execution for Wrap Program Clients by sending trades to the Wrap Sponsor.

Our firm is privately held by three principal owners, Bruce Miller, Daniel Henderson and Cory Krebs and six minority owners, each of whom is involved in the day-to-day operations and management. For more information on the principal owners, please refer to the brochure 2B Supplement on pages 16, 18 and 22.

As of December 31, 2019, the Adviser managed \$1,255,332,677 of regulatory assets under management on behalf of Clients, all on a discretionary basis.

## **Item 5 – Management Fees**

Exploratory meetings are held with prospective clients without charge to determine if our services meet their needs. An agreement is signed prior to proceeding and includes the following fee schedule.

### **ANNUAL FEE SCHEDULE ASSET CLASS BASED PRICING**

#### **EQUITY SCHEDULE**

1.0% on the first \$2,000,000  
0.7% on the next \$3,000,000  
0.5% above \$5,000,000

#### **OTHER ASSET CLASS SCHEDULE**

0.6% on the first \$1,000,000  
0.5% on the next \$1,000,000  
0.4% above \$2,000,000

Fees shall be deducted quarterly from the account(s). There are circumstances when fees are paid by check. Fees are payable at the beginning of each calendar quarter and are based on the market value of the assets in the account(s) as of the close of business on the last business day of the immediately preceding quarter. The initial fee is based on the market value of the assets in the account(s) on the last business day of the quarter in which it's opened and prorated from the date of activation. If this agreement is terminated before the last day of the quarter, fees will be prorated and refunded accordingly. The custodian does not verify the accuracy of the calculation. It is the Client's responsibility to verify this calculation. From time to time, under certain circumstances, client fees may be subject to negotiation.

Clients will incur brokerage and trading fees directly from the custodian.

## **Item 6 – Performance-Based Fees and Side-By-Side Management**

CooksonPeirce does not charge any performance-based fees (fees based on a share of capital gains or on capital appreciation of the assets of a client).

## **Item 7 – Clients**

CooksonPeirce provides investment advice to high-net worth individuals, trusts, endowments, pensions and foundations which we refer to as "private clients" since they have a direct relationship with our firm. We also provide money management services to clients of professional advisors which we refer to as "institutional clients". For CooksonPeirce to have a direct relationship with a private client, they would typically need to initiate the relationship with a minimum of \$1,000,000 in total assets under management. The minimum account size for institutional clients is \$100,000. Exceptions may be made based on the source of the prospective client.

## **Item 8 – Methods of Analysis, Investment Strategies and Risk of Loss**

Investments are managed using two primary classes of securities: Equities and Fixed Income.

Equities are an investment in ownership of a firm and the return from these is derived from the value of the business going up (capital gains) and distribution of some of the profits (dividends). These investments are made by buying the equity directly in an individual corporation, but may also be done through ownership in a pool of equities such as an Exchange Traded Fund (ETF). Since the value of a business may vary with the economy and its own performance within its industry, the value of the investment in that business will fluctuate and can increase or decrease greatly in a short period of time.

Fixed Income is a loan to a corporation or government entity (Federal government, State or local government, or municipality). The profits of the corporation or tax revenues (or revenues from a defined source such as sewage bills) are used to pay interest to the purchaser of a bond and ultimately pay back the principal at a point in the future. The value of these investments generally move in response to changes in interest rates and the general economy and are usually less volatile in value than equities. A corporation may fail (go bankrupt), or a municipality may default on its obligations resulting in losses.

Evaluation of Equities is done using “Technical Analysis”. In our case, this is by focusing on the price movement of the security versus the market and other similar firms. We favor companies that have price movements that are stronger than the market (doing better whether the market is going up or down). We also examine the movement of the entire sector (group of similar types of companies) and favor those sectors/groups where the entire group has price movements that are stronger than the market. Our analysis of ETFs is similar in nature to that used for individual equities; however, we also consider macroeconomic trends when making decisions for purchase or sale. When a company’s stock price begins to falter (underperform), we sell it. This may result in somewhat frequent trading with increased transaction costs, and taxed gains and losses may be realized. In addition, the additional cost associated with frequent trading may negatively impact the investment performance of a clients account.

Analysis of Fixed Income relies primarily upon the ratings supplied by various ratings agencies. These ratings are similar to credit ratings for individuals. Only securities rated “A” or better are considered for purchase. Securities rated “BBB” and higher are considered “investment grade”, but we favor a slightly higher standard. When purchasing municipal securities, we only purchase those that have ability to tax or an obligation to tax to obtain funds to pay off principal. We do not “trade” bonds for gains and, thus, these will have nominal turnover.

Portfolio management of Equity investments is done via individual equities in one of four strategies: Aggressive, Growth, Moderate and Conservative. A fifth method using Exchange Traded Funds (ETFs) is also employed. The majority of our assets are managed in Moderate and Growth styles. The beta (volatility of price movements relative to the market) is the limiting factor when considering a stock for purchase in a strategy.

Portfolio management of Fixed Income investments is done using a standard “ladder” structure. Bonds of issues maturing in 12 years or less are purchased so that a portion of

the portfolio matures every year. This enables easy adjustments between Equity investments and Fixed Income investments and will also allow for bond purchases to be made at interest rates that, over time, will follow market interest rates. This helps to mitigate changes in portfolio values due to changes in interest rates over time.

All investments in securities include a risk of loss of your principal (invested amount) and any profits that have not been realized. Stock markets and bond markets fluctuate substantially over time. In addition, the performance of any investment is not guaranteed. CooksonPeirce will manage client assets to the best of our ability; however, CooksonPeirce cannot guarantee any level of performance or that clients will not experience a loss of account assets.

## **Item 9 - Disciplinary Information**

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of CooksonPeirce or the integrity of CooksonPeirce's management. CooksonPeirce has no disciplinary events to report.

## **Item 10 – Other Financial Industry Activities and Affiliations**

As of 12/21/2011 Cookson Peirce & Co., Inc. is the sub-advisor of Catalyst Dynamic Alpha Fund ("CPEAX"). The controlling officers of Catalyst Dynamic Alpha Fund are also the controlling officers of Cookson Peirce & Co., Inc. Investors in the Fund will bear certain expenses, including management fees and administrative expenses, as well as redemption fees on shares held for short periods. Information about the Fund's cost structure is available in the Fund's Prospectus, which is filed publicly with the Securities and Exchange Commission.

CooksonPeirce offers financial planning services. We gather information through interviews and questionnaires to understand clients' financial situation and determine their financial goals. Information gathered includes income, retirement plans, assets, taxes, investments, insurance policies, trusts, wills, future goals and related documents. Based on the information and documents reviewed, clients receive a detailed, written financial plan designed to help them pursue their stated financial goals and objectives. CooksonPeirce receives no additional compensation for financial plans.

CooksonPeirce may provide estate planning for some clients by providing an estate tax analysis. We will review current documents and may recommend new documents. We may also recommend basic estate tax saving strategies and demonstrate hypothetical results. CooksonPeirce receives no additional compensation for estate planning advice.

CooksonPeirce, at the request of the client, may provide consulting services regarding non-investment related matters. CooksonPeirce and its representatives do not serve as attorneys and the services should not be construed as legal advice. CooksonPeirce may recommend the services of other professionals. The client is free to accept or reject any recommendation. CooksonPeirce receives no additional compensation for consulting services or recommendations made.

## **Item 11 – Code of Ethics**

CooksonPeirce has adopted a Code of Ethics for all employees of the firm describing its high standard of business conduct and fiduciary duty to its clients. The Code of Ethics includes provisions relating to the confidentiality of client information, a prohibition on insider trading, restrictions on the acceptance of significant gifts, and the reporting of certain gifts and business entertainment items. There are also specific procedures outlined for personal securities trading procedures, among other things. All employees at CooksonPeirce must acknowledge and agree to abide by the terms of the Code of Ethics annually, or as amended.

CooksonPeirce anticipates that, in appropriate circumstances, consistent with clients' investment objectives, it will cause accounts over which CooksonPeirce has management authority to effect, and will recommend to investment advisory clients or prospective clients, the purchase or sale of securities in which CooksonPeirce, its affiliates and/or clients, directly or indirectly, have a position of interest or other material financial interest.

CooksonPeirce may recommend or conduct a transaction for a client in a security in which CooksonPeirce, its employees, or other clients may have a position.

Subject to abiding by the Code of Ethics and applicable laws, the officers, directors and employees of CooksonPeirce and its affiliates may trade for their own accounts in securities which are recommended to and/or purchased for CooksonPeirce's clients. The Code of Ethics is designed to assure that these personal securities transactions will not interfere with making decisions in the best interest of our clients. Employee trading is continually monitored under the Code of Ethics to reasonably prevent conflicts of interest between CooksonPeirce and its clients.

CooksonPeirce's clients or prospective clients may request a copy of the firm's Code of Ethics by contacting Robin Miller at 412-471-5320.

## **Item 12 – Brokerage Practices**

CooksonPeirce strives to minimize the cost of all commissions generated in the management of accounts, while remaining cognizant of the potential benefits to be accrued. CooksonPeirce does not receive complimentary research from third parties, but instead relies on self-generated investment ideas. This is a unique distinction between CooksonPeirce and many other investment firms and substantially diminishes the potential for conflicts of interest as they relate to brokerage practices. This allows CooksonPeirce to focus more exclusively on the cost and effectiveness of execution services provided by brokers, rather than weighing access to research when evaluating potential brokerage partners.

CooksonPeirce actively meets with new and existing brokerage partners to ensure that the level and cost of service provided by our recommended brokers remains competitive. Furthermore, on a quarterly basis CooksonPeirce performs a documented quantitative and qualitative review of our brokerage practices in an effort to provide best execution to our investors. Brokerage providers are evaluated not only on commission cost, but also on a wide array of services offered. CooksonPeirce strives to have each recommended broker



fill a unique facet of execution (natural crosses, direct market access, algorithmic trading or dark pool liquidity) with limited overlap between the recommended brokers. We do not pay commission markups, and we have no incentive to recommend a higher cost broker based upon our interest in receiving research, products, or services from such party.

To ensure fair dealing with all clients and types of relationships, including brokerage partners, dogmatic adherence to our prearranged trade rotation schedule is required. The trade rotation schedule outlines an order of execution table for each week of the month, segregating our partners by the nature of the relationship. Unbiased execution staging is accomplished by allowing each relationship the opportunity to participate at each stage of the rotation. All trades are executed for the current relationship before trades at the succeeding are implemented.

We have three trading schedules (one for each month in the quarter) that we follow. Week one of month one we will trade through “custodians that hold our individual accounts” following the schedule. Subsequently we will then move through our “institutional” accounts in rotation of the strict schedule. Then week two of month one the institutional accounts are first in rotation but the rotation changes within the institutional list. Next the individual accounts are traded but in a different order than in week one of month one.

CooksonPeirce participates in the institutional advisor program (the “Program”) offered by TD Ameritrade Institutional. TD Ameritrade Institutional is a division of TD Ameritrade Inc., member FINRA/SIPC (“TD Ameritrade”), an unaffiliated SEC-registered broker-dealer and FINRA member. TD Ameritrade offers to independent investment advisors services which include custody of securities, trade execution, clearance and settlement of transactions. CooksonPeirce receives some benefits from TD Ameritrade through participation in the Program. (Please see the disclosure under Item 14. below.)

### **Item 13 – Review of Accounts**

Each account receives a written Investment Policy Statement which is customized for asset mix, permissible ranges for money market and cash equivalents, bonds and type of bonds to be used (taxable or tax-exempt), and equities; the degree of aggressiveness and risk the client desires and target for diversification. The plan is developed by the CooksonPeirce adviser responsible for the client relationship and is reviewed at least annually and updated as circumstances and changes are made.

The advisors are: Daniel S. Henderson, ChFC, Chief Executive Officer; Joshua C. Beas, CISP, CDFP<sup>®</sup>, Client Advisor; Daniel J. Meyers, CFP<sup>®</sup>, Client Advisor; Christian M. Brown, CFP<sup>®</sup>, Client Advisor; Janelle M. Fumerola, CFP<sup>®</sup>, MBA, Client Advisor; Beth Williams, CAP<sup>®</sup>, Client Advisor; Scott B. Oros, CFP<sup>®</sup>, Client Advisor; Samantha T. Dvorchak, CFP<sup>®</sup>, Client Advisor; and Aaron C. Gates, CFP<sup>®</sup>, Associate Client Advisor.

The guidelines from the plan are electronically assigned to the relevant accounts through the creation of a portfolio profile. This profile allows for the automatic assignment or update of relevant portfolio management guidelines that must be followed in the management of the account. Accounts are rebalanced on an ongoing basis. Equity sales and bond maturities are the primary cause for rebalancing as assets will get redeployed

according to the client's profile or plan. All accounts are fully reviewed on a monthly basis at a corporate meeting. This review is done by Bruce W. Miller, CFA, Chief Investment Officer and a principal of the firm; and Luke J. O'Neill, CFA, Portfolio Manager. Assets that are more than 5% outside of their allowable range are flagged for immediate adjustment.

Clients receive their initial Investment Policy Statement, plus written confirmation of any changes as an amendment to this statement. They receive from their custodian a monthly statement of assets, confirmations of all trading activity, and annual 1099 and gain/loss reports. Additionally, they may receive interim reports from CooksonPeirce on the value of their accounts, income, gains and losses (both realized and unrealized), and other reports they may request.

## **Item 14 – Client Referrals and Other Compensation**

- A. CooksonPeirce has established trading relationships with the following firms: Charles Schwab & Co., Inc., Fidelity Capital Markets, Cantor, Trade Manage Capital, RBC Wealth Management, Pershing and TD Ameritrade. In the normal course of business these firms provide us with technology consulting, research products and software to facilitate trading with them. These tools provide views of market data and analytics that enhance all of our trading. We do not believe this creates any conflict of interest since all CooksonPeirce clients benefit from these tools and none pay higher commissions as a result.
- B. CooksonPeirce maintains solicitor agreements in compliance with SEC rule 206(4)-3 with individuals who send us client referrals. We also share fees with registered investment advisors who refer clients to our firm. The following firm has provided client referrals to CooksonPeirce in return for a share of management fees paid on a quarterly basis: Lange Financial Group, LLC. Finally, CooksonPeirce receives client referrals from Charles Schwab & Co., Inc. and TD Ameritrade.
- C. CooksonPeirce receives client referrals from Charles Schwab & Co., Inc. ("Schwab") through CooksonPeirce's participation in Schwab Advisor Network<sup>®</sup> ("the Service"). The Service is designed to help investors find an independent investment advisor. Schwab is a broker-dealer independent of and unaffiliated with CooksonPeirce. Schwab does not supervise Advisor and has no responsibility for CooksonPeirce's management of clients' portfolios or CooksonPeirce's other advice or services. CooksonPeirce pays Schwab fees to receive client referrals through the Service. CooksonPeirce's participation in the Service may raise potential conflicts of interest described below.

CooksonPeirce pays Schwab a Participation Fee on all referred clients' accounts that are maintained in custody at Schwab and a Non-Schwab Custody Fee on all accounts that are maintained at, or transferred to, another custodian. The Participation Fee paid by CooksonPeirce is a percentage of the fees the client owes to CooksonPeirce or a percentage of the value of the assets in the client's account, subject to a minimum Participation Fee.

CooksonPeirce pays Schwab the Participation Fee for so long as the referred client's account remains in custody at Schwab. The Participation Fee is billed to

CooksonPeirce quarterly and may increase, decrease or waived by Schwab from time to time. The Participation Fee is paid by CooksonPeirce and not by the client. CooksonPeirce has agreed not to charge clients referred through the Service fees or costs greater than the fees or costs CooksonPeirce charges clients with similar portfolios who were not referred through the Service.

CooksonPeirce generally pays Schwab a Non-Schwab Custody Fee if custody of a referred client's account is not maintained by, or assets in the account are transferred from Schwab. This Fee does not apply if the client was solely responsible for the decision not to maintain custody at Schwab. The Non-Schwab Custody Fee is a one-time payment equal to a percentage of the assets placed with a custodian other than Schwab. The Non-Schwab Custody Fee is higher than the Participation Fees Advisor generally would pay in a single year. Thus, CooksonPeirce will have an incentive to recommend that client accounts be held in custody at Schwab.

The Participation and Non-Schwab Custody Fees will be based on assets in accounts of CooksonPeirce's clients who were referred by Schwab and those referred clients' family members living in the same household. Thus, CooksonPeirce will have incentives to encourage household members of clients referred through the Service to maintain custody of their accounts and execute transactions at Schwab and to instruct Schwab to debit CooksonPeirce's fees directly from the accounts.

For accounts of CooksonPeirce's clients maintained in custody at Schwab, Schwab will not charge the client separately for custody but will receive compensation from CooksonPeirce's clients in the form of commissions or other transaction-related compensation on securities trades executed through Schwab. Schwab also will receive a fee (generally lower than the applicable commission on trades it executes) for clearance and settlement of trades executed through broker-dealers other than Schwab. Schwab's fees for trades executed at other broker-dealers are in addition to the other broker-dealer's fees. Thus, CooksonPeirce may have an incentive to cause trades to be executed through Schwab rather than another broker-dealer. CooksonPeirce, nevertheless, acknowledges its duty to seek best execution of trades for client accounts. Trades for client accounts held in custody at Schwab may be executed through a different broker-dealer than trades for CooksonPeirce's other clients. Thus, trades for accounts custodied at Schwab may be executed at different times and different prices than trades for other accounts that are executed at other broker-dealers.

- D. As disclosed under Item 12. above, CooksonPeirce participates in TD Ameritrade's institutional customer program and CooksonPeirce may recommend TD Ameritrade to Clients for custody and brokerage services. There is no direct link between CooksonPeirce's participation in the program and the investment advice it gives to its Clients, although CooksonPeirce receives economic benefits through its participation in the program that are typically not available to TD Ameritrade retail investors. These benefits include the following products and services (provided without cost or at a discount): receipt of duplicate Client statements and confirmations; research related products and tools; consulting services; access to a trading desk serving Advisor participants; access to block trading (which provides the ability to aggregate securities transactions for execution and then allocate the appropriate shares to Client accounts); the ability

to have advisory fees deducted directly from Client accounts; access to an electronic communications network for Client order entry and account information; access to mutual funds with no transaction fees and to certain institutional money managers; and discounts on compliance, marketing, research, technology, and practice management products or services provided to Advisor by third party vendors. TD Ameritrade may also have paid for business consulting and professional services received by CooksonPeirce's related persons. These products or services may assist CooksonPeirce in managing and administering Client accounts, including accounts not maintained at TD Ameritrade. Other services made available by TD Ameritrade are intended to help CooksonPeirce manage and further develop its business enterprise. The benefits received by CooksonPeirce or its personnel through participation in the program do not depend on the amount of brokerage transactions directed to TD Ameritrade. As part of its fiduciary duties to clients, CooksonPeirce endeavors at all times to put the interests of its clients first. Clients should be aware, however, that the receipt of economic benefits by CooksonPeirce or its related persons in and of itself creates a potential conflict of interest and may indirectly influence CooksonPeirce's choice of TD Ameritrade for custody and brokerage services.

Advisor may receive client referrals from TD Ameritrade through its participation in TD Ameritrade AdvisorDirect. In addition to meeting the minimum eligibility criteria for participation in AdvisorDirect, Advisor may have been selected to participate in AdvisorDirect based on the amount and profitability to TD Ameritrade of the assets in, and trades placed for, client accounts maintained with TD Ameritrade. TD Ameritrade is a discount broker-dealer independent of and unaffiliated with Advisor and there is no employee or agency relationship between them. TD Ameritrade has established AdvisorDirect as a means of referring its brokerage customers and other investors seeking fee-based personal investment management services or financial planning services to independent investment advisors. TD Ameritrade does not supervise Advisor and has no responsibility for CooksonPeirce's management of client portfolios or CooksonPeirce's other advice or services. Advisor pays TD Ameritrade an on-going fee for each successful client referral. For referrals that occurred through AdvisorDirect before April 10, 2017, this fee is a percentage (not to exceed 25%) of the advisory fee that the client pays to Advisor ("Solicitation Fee"). For referrals that occurred through AdvisorDirect on or after June 9, 2017 the Solicitation Fee is an annualized fee based on the amount of referred client assets that does not exceed 25% of 1%, unless such client assets are subject to a Special Services Addendum. In the case of a Special Services Addendum, the Solicitation Fee is an annualized fee based on the amount of referred client assets that does not exceed 10% of 1%. Advisor will also pay TD Ameritrade the Solicitation Fee on any assets received by Advisor from any of a referred client's family members, including a spouse, child or any other immediate family member who resides with the referred client and hired Advisor on the recommendation of such referred client. Advisor will not charge clients referred through AdvisorDirect any fees or costs higher than its standard fee schedule offered to its clients or otherwise pass Solicitation Fees paid to TD Ameritrade to its clients. For information regarding additional or other fees paid directly or indirectly to TD Ameritrade, please refer to the TD Ameritrade AdvisorDirect Disclosure and Acknowledgement Form.

CooksonPeirce's participation in AdvisorDirect raises potential conflicts of interest. TD Ameritrade will most likely refer clients through AdvisorDirect to investment advisors that encourage their clients to custody their assets at TD Ameritrade and whose client accounts are profitable to TD Ameritrade. Consequently, in order to obtain client referrals from TD Ameritrade, CooksonPeirce may have an incentive to recommend to clients that the assets under management by CooksonPeirce be held in custody with TD Ameritrade

and to place transactions for client accounts with TD Ameritrade. In addition, CooksonPeirce has agreed not to solicit clients referred to it through AdvisorDirect to transfer their accounts from TD Ameritrade or to establish brokerage or custody accounts at other custodians, except when its fiduciary duties require doing so. CooksonPeirce's participation in AdvisorDirect does not diminish its duty to seek best execution of trades for client accounts.

## **Item 15 - Custody**

Clients will receive at least quarterly statements from the broker-dealer, bank or other qualified custodian that holds and maintains client's investment assets. CooksonPeirce urges you to carefully review such statements and compare such official custodial records to the account statements that we may provide to you. Our statements may vary from custodial statements based on accounting procedures, reporting dates, or valuation methodologies of certain securities.

Under Rule 206(4)-2 "custody rule" the qualified custodian is not a related person of CooksonPeirce therefore CooksonPeirce has "custody" under the rule because CooksonPeirce directly debits advisory fees from a few client's banking accounts, in lieu of receiving checks. Additionally, we have three accounts custodied at Fidelity Investments and we do not have a relationship with Fidelity thus, we are in possession of those client's login and passwords for trading purposes only. Therefore, CooksonPeirce is subject to a surprise audit by a public accounting firm based on this claim and SEC rules. A copy of our audited report may be obtained by contacting CooksonPeirce at 412-471-5320.

## **Item 16 - Investment Discretion**

CooksonPeirce performs investment management services for various clients. We may, in our sole discretion, aggregate purchases or sales of any security, instrument or obligation effected for client accounts with purchases or sales, as the case may be, of the same security, instrument or obligation effected on the same day for the accounts of one or more of CooksonPeirce's other clients. We usually attempt to aggregate transactions at a custodian. Since the price of an equity security will vary over even very short periods of time, we feel it is fairest to purchase the entire position desired for all clients and give each the same price rather than have clients receive differing prices. In some instances, our transactions may take several hours to effect where the difference may be somewhat wide. These aggregations potentially could be advantageous or disadvantageous for any one particular client, but best serve all clients in our opinion. We also attempt to aggregate purchases of fixed income securities to get better pricing than might be achieved by buying larger quantities.

When transactions are so aggregated, (a) the actual prices applicable to the aggregated transactions will be averaged, and each client account participating in the aggregated transaction will be deemed to have purchased or sold its share of the security, instrument or obligation involved at that average price and (b) all transaction costs incurred in effecting the aggregated transaction shall be shared on a prorated basis among all accounts participating in such aggregated transaction, except to the extent that certain broker-dealers that also furnish custody services may impose minimum transaction charges applicable to some of the participating accounts. When such concurrent

aggregations occur, the objective will be to allocate the executions in a manner that is deemed equitable to the accounts involved.

CooksonPeirce only recommends transactions that are consistent with the guidelines set forth in each client's Investment Policy Statement. CooksonPeirce's trading authority is not otherwise limited. We have chosen our recommended broker-dealer, Charles Schwab & Co., Inc., on the basis, first, of safety, second, specialized or personalized services, and, third, the level of commissions offered to our clients. Equity commissions are a minimum dollar price per trade and, depending upon the level of household assets custodied at Charles Schwab, an additional cents-per-share commission is charged above a specified number of shares.

CooksonPeirce recommends Charles Schwab & Co., Inc. based on the following criteria:

- Willingness to give substantial commission discounts
- Financial soundness of the firm
- Insurance coverage over and above SIPC provided by the firm
- Capability in corporate and municipal bonds
- Tax-free money market funds for key states
- No, or low, fees for wire transfers
- Willingness to accept delivery versus payment (DVP) trades
- Capability to download data daily, fast and accurately
- Competitive return on money market funds

If a client directs CooksonPeirce to use a specific broker, it should be noted that CooksonPeirce has not negotiated the terms and conditions (including, but not limited to, commission rates) relating to the services provided by such broker; CooksonPeirce will be limited in its ability to obtain for the client from any such broker the best prices or particular commission rates with or through any such broker; the client may not obtain rates as low as it might otherwise obtain if CooksonPeirce has discretion to select broker-dealers other than those chosen by the client, and the client may not participate in aggregated securities transactions. Further, since such client-directed broker-dealers do not provide daily electronic downloading of account information to CooksonPeirce, those accounts can only be completely updated and reconciled on a monthly basis from paper statements rather than daily as with accounts held at broker-dealers recommended by CooksonPeirce.

Charles Schwab & Co., Inc. and Cookson Peirce & Co., Inc. have an arrangement whereby Charles Schwab may provide related business services, such as technology consulting, as well as research products and analytical tools through Charles Schwab's trading platform, Cyber Trader. These services are used to benefit all of Cookson Peirce & Co., Inc.'s clients. We do not believe that clients pay higher commissions at Charles Schwab in return for these products and services.

## **Item 17 – Voting Client Securities**

Chicago Clearing Corporation ("CCC") provides class action litigation monitoring and securities claim filing services on behalf of our clients. Participation in this service requires that CooksonPeirce provide private information to CCC to assist with its class action suit research. Taking part in this service is voluntary but highly recommended. If

you choose to not participate you have the right to vote on corporate governance concerns in whatever fashion you see fit.

In those instances where CooksonPeirce is responsible for voting on proxies, adherence to the practices outlined in the CooksonPeirce Proxy Voting Policies is mandatory. Voting standards for many basic issues are outlined in the policy and were developed in accordance with corporate governance principles set forth by the CFA Institute. We view the governance rights associated with equity ownership in a firm as a valuable aspect of our investment and strive to leverage our votes to maximize shareholder value over time. Each of the votes registered on behalf of our clients is logged electronically and saved making them available for review upon client request. A copy of our proxy voting policies and procedures is also available upon request.

## **Item 18 – Financial Information**

As a registered investment adviser, we are required in this Item to provide you with certain financial information or disclosures about CooksonPeirce’s financial condition. CooksonPeirce has no financial commitment that impairs its ability to meet contractual and fiduciary commitments to clients, and has not been the subject of a bankruptcy proceeding.

We do not require or solicit prepayment of fees in excess of \$1,200 per client more than six months in advance for services rendered; therefore, we are not required to include a balance sheet for our most recent fiscal year.

## **ADV Part 2B – Brochure Supplement**

**Bruce W. Miller, CFA**  
**Chief Investment Officer**

**[bwm@cooksonpeirce.com](mailto:bwm@cooksonpeirce.com)**

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This brochure supplement provides information about Bruce W. Miller, CFA that supplements the CooksonPeirce brochure. A copy of that brochure precedes this supplement. Please contact Bruce W. Miller, CFA if the CooksonPeirce brochure is not included with this supplement or if you have any questions about the contents of this supplement.



## **Item 2: Education Background and Business Expertise**

Bruce W. Miller was born June 9, 1961. Mr. Miller is the Chief Investment Officer in charge of the investment direction of the firm, day to day management of all portfolios and is a member of CooksonPeirce's Investment Committee. Mr. Miller has been with CooksonPeirce since 1987 with the exception of a 3 year hiatus at another investment firm from 1996-1999.

Mr. Miller graduated from Slippery Rock University of Pennsylvania in 1983 with a Bachelor of Science degree in Business with a major in Finance. He continued his education and received a Master of Business Administration degree with a concentration in Finance and Information Systems from Kent State University in 1985. Mr. Miller was awarded his CFA (Chartered Financial Analyst) designation by the CFA Institute in 1991.

## **Item 3: Disciplinary Information**

- A. Bruce W. Miller, CFA has not had any civil or criminal actions brought against him.
- B. Bruce W. Miller, CFA has not had any administrative proceedings before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority.
- C. Bruce W. Miller, CFA has not had any proceedings before a self-regulatory organization.
- D. Bruce W. Miller, CFA has not had proceedings in which a professional attainment, designation, or license was revoked or suspended.

## **Item 4: Other Business Activities**

- A. Bruce W. Miller, CFA is not engaged in any investment-related businesses outside of CooksonPeirce, nor does he have any applications pending to register with a broker-dealer or other investment firm. Mr. Miller does not receive any commissions, bonuses or other compensation based on the sale of securities or other investment products.
- B. Bruce W. Miller, CFA does not engage in any other business that provides a substantial source of his income or consumes a substantial portion of his time.

## **Item 5: Additional Compensation**

Bruce W. Miller, CFA does not receive any additional compensation beyond his salary and as a shareholder, potential distribution of corporate profits.

## **Item 6: Supervision**

Bruce W. Miller, CFA is supervised by the Board of Directors of Cookson Peirce & Co., Inc.

## **ADV Part 2B – Brochure Supplement**

**Cory S. Krebs, CFA**  
**President and Portfolio Manager**

**[csk@cooksonpeirce.com](mailto:csk@cooksonpeirce.com)**

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This brochure supplement provides information about Cory S. Krebs, CFA that supplements the CooksonPeirce brochure. A copy of that brochure precedes this supplement. Please contact Cory S. Krebs, CFA if the CooksonPeirce brochure is not included with this supplement or if you have any questions about the contents of this supplement.

## **Item 2: Education Background and Business Expertise**

Cory S. Krebs was born May 20, 1974. Mr. Krebs is a Portfolio Manager in charge of the day to day management of all portfolios and is a member of CooksonPeirce's Investment Committee. He is active in the firm's investment research and process improvement initiatives. Prior to joining the firm in 2003, Cory was the Head of Equity Trading with Laurel Capital Advisors, an investment subsidiary of Mellon Financial. There he was responsible for all aspects of block order trading, participated in new product development and assisted in the investment manager due diligence process.

Mr. Krebs graduated from the University of Pittsburgh in 1996 with a Bachelor of Arts degree in Economics. He continued his education and received a Master of Business Administration degree with a concentration in Finance from the Katz Graduate School of Business at the University of Pittsburgh in 2003. Mr. Krebs was awarded his CFA (Chartered Financial Analyst) designation by the CFA Institute in October 2007.

## **Item 3: Disciplinary Information**

- A. Cory S. Krebs, CFA has not had any civil or criminal actions brought against him.
- B. Cory S. Krebs, CFA has not had any administrative proceedings before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority.
- C. Cory S. Krebs, CFA has not had any proceedings before a self-regulatory organization.
- D. Cory S. Krebs, CFA has not had proceedings in which a professional attainment, designation, or license was revoked or suspended.

## **Item 4: Other Business Activities**

- A. Cory S. Krebs, CFA is not engaged in any investment-related businesses outside of CooksonPeirce, nor does he have any applications pending to register with a broker-dealer or other investment firm. Mr. Krebs does not receive any commissions, bonuses or other compensation based on the sale of securities or other investment products.
- B. Cory S. Krebs, CFA does not engage in any other business that provides a substantial source of his income or consumes a substantial portion of his time.

## **Item 5: Additional Compensation**

Cory S. Krebs, CFA does not receive any additional compensation beyond his salary and as a shareholder, potential distribution of corporate profits.

## **Item 6: Supervision**

Cory S. Krebs, CFA is supervised by the Board of Directors of Cookson Peirce & Co., Inc.

## **ADV Part 2B – Brochure Supplement**

**Robin Miller**  
**Chief Compliance Officer**  
**Chief Financial Officer**

**[rm@cooksonpeirce.com](mailto:rm@cooksonpeirce.com)**

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This brochure supplement provides information about Robin Miller that supplements the CooksonPeirce brochure. A copy of that brochure precedes this supplement. Please contact Robin Miller if the CooksonPeirce brochure is not included with this supplement or if you have any questions about the contents of this supplement.

## **Item 2: Education Background and Business Expertise**

Robin Miller was born on September 8, 1965. She is the Chief Compliance Officer and Chief Financial Officer at Cookson Peirce & Co., Inc. Her primary roles as CCO are to function at times as an independent and objective body that revises and evaluates compliance issues/concerns within the organization. Robin ensures that management and employees are in compliance with the rules and regulations of regulatory agencies, that company policies and procedures are being followed, and that behavior in the organization meets the company's code of ethics. As CFO, Robin is responsible for financial control and planning of the firm. She is in charge of all accounting, including preparing budgets and financial statements. Robin is also a member of CooksonPeirce's Board of Directors. Robin has over 30 years experience in the investment industry and over 15 years experience in compliance. Robin's experience also includes holding the Chief Compliance Officer position at two other investment firms in Pittsburgh, PA.

Robin received a Bachelor's degree in Business from Duquesne University and maintains FINRA registration through Series 7 and 24 licenses.

## **Item 3: Disciplinary Information**

- A. Robin Miller has not had any civil or criminal actions brought against her.
- B. Robin Miller has not had any administrative proceedings before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority.
- C. Robin Miller has not had any proceedings before a self-regulatory organization.
- D. Robin Miller has not had proceedings in which a professional attainment, designation, or license was revoked or suspended.

## **Item 4: Other Business Activities**

- A. Robin Miller is not engaged in any investment-related businesses outside of CooksonPeirce, nor does she have any applications pending to register with a broker-dealer or other investment firm.
- B. Robin Miller does not engage in any other business that provides a substantial source of her income or consumes a substantial portion of her time.

## **Item 5: Additional Compensation**

Robin Miller does not receive any additional compensation beyond her salary and as a shareholder, potential distribution of corporate profits.

## **Item 6: Supervision**

Robin Miller is supervised by the Board of Directors of Cookson Peirce & Co., Inc.

## **ADV Part 2B – Brochure Supplement**

**Daniel S. Henderson, ChFC**  
**Chief Executive Officer**

[dsh@cooksonpeirce.com](mailto:dsh@cooksonpeirce.com)

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This brochure supplement provides information about Daniel S. Henderson, ChFC that supplements the CooksonPeirce brochure. A copy of that brochure precedes this supplement. Please contact Daniel S. Henderson, ChFC if the CooksonPeirce brochure is not included with this supplement or if you have any questions about the contents of this supplement.

## **Item 2: Education Background and Business Expertise**

Daniel S. Henderson was born on September 15, 1966. Mr. Henderson is a principal of Cookson Peirce & Co., Inc. and serves as the firm's CEO. Dan joined the firm in 2002 after a ten-year career in the investment business working in various positions with large investment firms in Pittsburgh. He is responsible for key client relationships, and the firm's strategic planning which includes the overall marketing effort.

Dan graduated from Boston University in 1988 with a Bachelors of Science degree in Business with a concentration in Finance. After attending Boston University on a full Navy ROTC scholarship, Dan served as an Infantry Officer in the United States Marine Corps from 1988 to 1992. During his four years of active duty he served in combat and was decorated during the Persian Gulf War. He received an Honorable Discharge in 1992 with the rank of Captain. He continued his education with courses from The American College where he earned the Chartered Financial Consultant (ChFC) designation.

## **Item 3: Disciplinary Information**

- A. Daniel S. Henderson, ChFC, has not had any civil or criminal actions brought against him.
- B. Daniel S. Henderson, ChFC has not had any administrative proceedings before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority.
- C. Daniel S. Henderson, ChFC has not had any proceedings before a self-regulatory organization.
- D. Daniel S. Henderson, ChFC has not had proceedings in which a professional attainment, designation, or license was revoked or suspended.

## **Item 4: Other Business Activities**

- A. Daniel S. Henderson, ChFC is not engaged in any investment-related businesses outside of CooksonPeirce, nor does he have any applications pending to register with a broker-dealer or other investment firm. Mr. Henderson does not receive any commissions, bonuses or other compensation based on the sale of securities or other investment products.
- B. Daniel S. Henderson, ChFC does not engage in any other business that provides a substantial source of his income or consumes a substantial portion of his time.

## **Item 5: Additional Compensation**

Daniel S. Henderson, ChFC does not receive any additional compensation beyond his salary and as a shareholder, potential distribution of corporate profits.

## **Item 6: Supervision**

Daniel S. Henderson, ChFC is supervised by the Board of Directors of Cookson Peirce & Co., Inc.

## **ADV Part 2B – Brochure Supplement**

**Joshua C. Beas, CISP, CDFA™**  
**Lead Advisor**

**[jcb@cooksonpeirce.com](mailto:jcb@cooksonpeirce.com)**

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**[www.cooksonpeirce.com](http://www.cooksonpeirce.com)**

This brochure supplement provides information about Joshua C. Beas, CISP, CDFA™ that supplements the CooksonPeirce brochure. A copy of that brochure precedes this supplement. Please contact Joshua Beas if the CooksonPeirce brochure is not included with this supplement or if you have any questions about the contents of this supplement.



## **Item 2: Education Background and Business Expertise**

Joshua C. Beas was born on January 3, 1977. Mr. Beas is a Client Advisor responsible for managing private client relationships and financial planning for clients of the firm. Josh has over 20 years of financial experience encompassing retail and business banking, institutional investments, portfolio management, and most recently as a relationship manager for PNC Wealth Management.

Josh received a Bachelor of Arts degree from the University of Pittsburgh and maintains a Series 65 license. He has continued his education with courses from The American Bankers Association and the Institute for Divorce Financial Analysts™ where he earned designations as a Certified IRA Service Professional (CISP) and Certified Divorce Financial Analyst® (CDFA™). Additionally, he attended Duquesne University's School of Leadership and Professional Advancement to earn an Executive Certificate in Financial Planning.

## **Item 3: Disciplinary Information**

- A. Joshua C. Beas has not had any civil or criminal actions brought against him.
- B. Joshua C. Beas has not had any administrative proceedings before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority.
- C. Joshua C. Beas has not had any proceedings before a self-regulatory organization.
- D. Joshua C. Beas has not had proceedings in which a professional attainment, designation, or license was revoked or suspended.

## **Item 4: Other Business Activities**

- A. Joshua C. Beas is not engaged in any investment-related businesses outside of CooksonPeirce, nor does he have any applications pending to register with a broker-dealer or other investment firm. Mr. Beas does not receive any commissions, bonuses or other compensation based on the sale of securities or other investment products.
- B. Joshua C. Beas does not engage in any other business that provides a substantial source of his income or consumes a substantial portion of his time.

## **Item 5: Additional Compensation**

Joshua C. Beas does not receive any additional compensation beyond his salary and as a shareholder, potential distribution of corporate profits.

## **Item 6: Supervision**

Joshua C. Beas is supervised directly by Daniel J. Meyers, CFP®.

## **ADV Part 2B – Brochure Supplement**

**Christian M. Brown, CFP®**  
**Director of Institutional Group**

**[cmb@cooksonpeirce.com](mailto:cmb@cooksonpeirce.com)**

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This brochure supplement provides information about Christian M. Brown, CFP® that supplements the CooksonPeirce brochure. A copy of that brochure precedes this supplement. Please contact Christian M. Brown if the CooksonPeirce brochure is not included with this supplement or if you have any questions about the contents of this supplement.

## **Item 2: Education Background and Business Expertise**

Christian M. Brown was born on May 1, 1973. He is a Senior Vice President with Cookson Peirce & Co., Inc. Chris is responsible for the management of private client relationships, including comprehensive financial planning and advisory services encompassing investment, retirement, tax, insurance, and estate planning strategies. Chris has over 20 years' financial industry experience, specializing in providing holistic investment and retirement planning solutions for both individuals and institutional clients. Prior to joining Cookson Peirce & Co., Inc., Chris worked as a high net-worth client Advisor and relationship manager with TIAA-CREF. His professional experience also includes institutional sales and relationship management positions with Federated Investors in Pittsburgh, PA and Putnam Investments in Boston, MA.

Chris earned a Bachelor's degree in Economics from the University of New Mexico and is a Certified Financial Planner™ Practitioner. He also holds a Series 65 license.

## **Item 3: Disciplinary Information**

- A. Christian M. Brown has not had any civil or criminal actions brought against him.
- B. Christian M. Brown has not had any administrative proceedings before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority.
- C. Christian M. Brown has not had any proceedings before a self-regulatory organization.
- D. Christian M. Brown has not had proceedings in which a professional attainment, designation, or license was revoked or suspended.

## **Item 4: Other Business Activities**

- A. Christian M. Brown is not engaged in any investment-related businesses outside of CooksonPeirce, nor does he have any applications pending to register with a broker-dealer or other investment firm.
- B. Christian M. Brown does not engage in any other business that provides a substantial source of his income or consumes a substantial portion of his time.

## **Item 5: Additional Compensation**

Christian M. Brown CFP, does not receive any additional compensation beyond his salary and as a shareholder, potential distribution of corporate profits.

## **Item 6: Supervision**

Christian M. Brown is supervised directly by Cory S. Krebs, CFA.

## ADV Part 2B – Brochure Supplement

**Daniel J. Meyers, CFP®**  
**Director of Private Client**

[djm@cooksonpeirce.com](mailto:djm@cooksonpeirce.com)

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This brochure supplement provides information about Daniel J. Meyers, CFP® that supplements the CooksonPeirce brochure. A copy of that brochure precedes this supplement. Please contact Daniel Meyers if the CooksonPeirce brochure is not included with this supplement or if you have any questions about the contents of this supplement.

## **Item 2: Education Background and Business Expertise**

Daniel J. Meyers was born on June 27, 1981. Mr. Meyers is a Client Advisor responsible for managing private client relationships and financial planning for clients of the firm. Dan has over 10 years of financial experience encompassing retail and business banking, comprehensive financial planning, portfolio management, and most recently as a relationship manager for PNC Private Client Group.

Dan received a Bachelor of Science degree from Duquesne University and he is a Certified Financial Planner™ Practitioner. Dan also maintains a Series 65 license.

## **Item 3: Disciplinary Information**

- A. Daniel J. Meyers has not had any civil or criminal actions brought against him.
- B. Daniel J. Meyers has not had any administrative proceedings before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority.
- C. Daniel J. Meyers has not had any proceedings before a self-regulatory organization.
- D. Daniel J. Meyers has not had proceedings in which a professional attainment, designation, or license was revoked or suspended.

## **Item 4: Other Business Activities**

- A. Daniel J. Meyers is not engaged in any investment-related businesses outside of CooksonPeirce, nor does he have any applications pending to register with a broker-dealer or other investment firm. Mr. Meyers does not receive any commissions, bonuses or other compensation based on the sale of securities or other investment products.
- B. Daniel J. Meyers does not engage in any other business that provides a substantial source of his income or consumes a substantial portion of his time.

## **Item 5: Additional Compensation**

Daniel J. Meyers does not receive any additional compensation beyond his salary and as a shareholder, potential distribution of corporate profits.

## **Item 6: Supervision**

Daniel J. Meyers is supervised by the Board of Directors of Cookson Peirce & Co., Inc.

## **ADV Part 2B – Brochure Supplement**

**Janelle M. Fumerola, CFP<sup>®</sup>, MBA**  
**Reginal Managing Director**

[jmf@cooksonpeirce.com](mailto:jmf@cooksonpeirce.com)

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This brochure supplement provides information about Janelle M. Fumerola, CFP<sup>®</sup>, MBA that supplements the CooksonPeirce brochure. A copy of that brochure precedes this supplement. Please contact Janelle M. Fumerola if the CooksonPeirce brochure is not included with this supplement or if you have any questions about the contents of this supplement.

## **Item 2: Education Background and Business Expertise**

Janelle M. Fumerola was born on January 21, 1974. Ms. Fumerola is a Client Advisor responsible for managing private client relationships and financial planning for clients of the firm. Janelle has over 20 years of experience in the financial services industry, including comprehensive financial planning, portfolio construction and management, and retail banking and loan facilitation. Previously, Janelle was Executive Vice President and Managing Principal for JFS Wealth Advisors, LLC, where she was part of the executive management team, managed the personal financial planning and asset management departments, and led the firm's business development team.

Janelle received a Bachelor of Arts degree in Business Management from Hiram College, and a Masters of Business Administration from Youngstown State University. Janelle is also a Certified Financial Planner™ Practitioner.

## **Item 3: Disciplinary Information**

- A. Janelle M. Fumerola has not had any civil or criminal actions brought against her.
- B. Janelle M. Fumerola has not had any administrative proceedings before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority.
- C. Janelle M. Fumerola has not had any proceedings before a self-regulatory organization.
- D. Janelle M. Fumerola has not had proceedings in which a professional attainment, designation, or license was revoked or suspended.

## **Item 4: Other Business Activities**

- A. Janelle M. Fumerola is not engaged in any investment-related businesses outside of CooksonPeirce, nor does she have any applications pending to register with a broker-dealer or other investment firm. Ms. Fumerola does not receive any commissions, bonuses or other compensation based on the sale of securities or other investment products.
- B. Janelle M. Fumerola does not engage in any other business that provides a substantial source of her income or consumes a substantial portion of her time.

## **Item 5: Additional Compensation**

Janelle M. Fumerola does not receive any additional compensation beyond her salary and a bonus based on corporate goals.

## **Item 6: Supervision**

Janelle M. Fumerola is supervised by Daniel J. Meyers, CFP®.

## **ADV Part 2B – Brochure Supplement**

**Beth A. Williams, CAP®**  
**Client Advisor**

**[bbw@cooksonpeirce.com](mailto:bbw@cooksonpeirce.com)**

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This brochure supplement provides information about Beth A. Williams, CAP® that supplements the CooksonPeirce brochure. A copy of that brochure precedes this supplement. Please contact Beth A. Williams if the CooksonPeirce brochure is not included with this supplement or if you have any questions about the contents of this supplement.



## **Item 2: Education Background and Business Expertise**

Beth A. Williams was born on June 26, 1967. Ms. Williams is a Client Advisor responsible for managing private client relationships and financial planning for clients of the firm. Beth has six plus years of experience in the financial industry, most recently as a Client Associate with Wells Fargo Advisors.

Beth received her B.S. in Education from Clarion University. Beth also maintains a Series 65 license. Beth was awarded the CAP<sup>®</sup> (Chartered Advisor in Philanthropy) designation in 2019.

## **Item 3: Disciplinary Information**

- A. Beth A. Williams has not had any civil or criminal actions brought against her.
- B. Beth A. Williams has not had any administrative proceedings before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority.
- C. Beth A. Williams has not had any proceedings before a self-regulatory organization.
- D. Beth A. Williams has not had proceedings in which a professional attainment, designation, or license was revoked or suspended.

## **Item 4: Other Business Activities**

- A. Beth A. Williams is not engaged in any investment-related businesses outside of CooksonPeirce, nor does she have any applications pending to register with a broker-dealer or other investment firm. Ms. Williams does not receive any commissions, bonuses or other compensation based on the sale of securities or other investment products.
- B. Beth A. Williams does not engage in any other business that provides a substantial source of her income or consumes a substantial portion of her time.

## **Item 5: Additional Compensation**

Beth A. Williams does not receive any additional compensation beyond her salary and a bonus based on corporate goals.

## **Item 6: Supervision**

Beth A. Williams is supervised by Daniel J. Meyers, CFP<sup>®</sup>.

## **ADV Part 2B – Brochure Supplement**

**Scott B. Oros, CFP®**  
**Lead Advisor**

[sbo@cooksonpeirce.com](mailto:sbo@cooksonpeirce.com)

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This brochure supplement provides information about Scott B. Oros, CFP® that supplements the CooksonPeirce brochure. A copy of that brochure precedes this supplement. Please contact Scott B. Oros if the CooksonPeirce brochure is not included with this supplement or if you have any questions about the contents of this supplement.

## **Item 2: Education Background and Business Expertise**

Scott B. Oros was born on July 19, 1985. Mr. Oros is a Client Advisor responsible for managing private client relationships and financial planning for clients of the firm. Scott has over 10 years of financial industry experience, having spent time at Merrill Lynch as a financial advisor and with PNC Wealth Management as an investment advisor. While with PNC, Scott also served on the Investment Review Committee, assisting in the direction of investment strategy as well as administering the company's risk management policies. He began his financial career while in business school as an analyst with First National Bank's commercial banking division.

Scott received a B.S. in Management and an M.B.A. from Pennsylvania State University. He also completed the Executive Program in Financial Planning with the University of Georgia. Scott holds the Certified Financial Planner™ designation, awarded to him in 2015 by the CFP® Board of Standards.

## **Item 3: Disciplinary Information**

- A. Scott B. Oros has not had any civil or criminal actions brought against him.
- B. Scott B. Oros has not had any administrative proceedings before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority.
- C. Scott B. Oros has not had any proceedings before a self-regulatory organization.
- D. Scott B. Oros has not had proceedings in which a professional attainment, designation, or license was revoked or suspended.

## **Item 4: Other Business Activities**

- A. Scott B. Oros is not engaged in any investment-related businesses outside of CooksonPeirce, nor does he have any applications pending to register with a broker-dealer or other investment firm. Mr. Oros does not receive any commissions, bonuses or other compensation based on the sale of securities or other investment products.
- B. Scott B. Oros does not engage in any other business that provides a substantial source of his income or consumes a substantial portion of his time.

## **Item 5: Additional Compensation**

Scott B. Oros does not receive any additional compensation beyond his salary and a bonus based on corporate goals and profits.

## **Item 6: Supervision**

Scott B. Oros is supervised directly by Daniel J. Meyers, CFP®.

## **ADV Part 2B – Brochure Supplement**

**Samantha T. Dvorchak, CFP®**  
**Client Advisor**

[sd@cooksonpeirce.com](mailto:sd@cooksonpeirce.com)

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This brochure supplement provides information about Samantha T. Dvorchak, CFP® that supplements the CooksonPeirce brochure. A copy of that brochure precedes this supplement. Please contact Samantha Dvorchak if the CooksonPeirce brochure is not included with this supplement or if you have any questions about the contents of this supplement.

## **Item 2: Education Background and Business Expertise**

Samantha T. Dvorchak was born on September 15, 1986. Mrs. Dvorchak is a Client Advisor responsible for managing private client relationships and financial planning for clients of the firm. Samantha has over 10 years of financial experience encompassing retail and business banking, affluent client management, and most recently as a Banking Advisor for PNC Wealth Management.

Samantha received a Bachelor of Arts degree in Economics with specializations in Money & Banking and Economics of Business & Law from Pennsylvania State University and is a Certified Financial Planner™ Practitioner. Additionally, she maintains a Series 66 license.

## **Item 3: Disciplinary Information**

- A. Samantha T. Dvorchak has not had any civil or criminal actions brought against her.
- B. Samantha T. Dvorchak has not had any administrative proceedings before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority.
- C. Samantha T. Dvorchak has not had any proceedings before a self-regulatory organization.
- D. Samantha T. Dvorchak has not had proceedings in which a professional attainment, designation, or license was revoked or suspended.

## **Item 4: Other Business Activities**

- A. Samantha T. Dvorchak is not engaged in any investment-related businesses outside of CooksonPeirce, nor does she have any applications pending to register with a broker-dealer or other investment firm. Mrs. Dvorchak does not receive any commissions, bonuses or other compensation based on the sale of securities or other investment products.
- B. Samantha T. Dvorchak does not engage in any other business that provides a substantial source of her income or consumes a substantial portion of her time.

## **Item 5: Additional Compensation**

Samantha T. Dvorchak does not receive any additional compensation beyond her salary and a bonus based on corporate goals and profits.

## **Item 6: Supervision**

Samantha T. Dvorchak is supervised directly by Daniel J. Meyers, CFP®.

## **ADV Part 2B – Brochure Supplement**

**Luke J. O’Neill, CFA**  
**Portfolio Manager**

[ljo@cooksonpeirce.com](mailto:ljo@cooksonpeirce.com)

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This brochure supplement provides information about Luke J. O’Neill, CFA that supplements the CooksonPeirce brochure. A copy of that brochure precedes this supplement. Please contact Luke J. O’Neill, CFA if the CooksonPeirce brochure is not included with this supplement or if you have any questions about the contents of this supplement.

## **Item 2: Education Background and Business Expertise**

Luke J. O'Neill, CFA was born November 9, 1975. Mr. O'Neill is a Portfolio Manager at CooksonPeirce and a member of the firm's Investment Committee. He joined the firm in 2018 and has 20 years of investment experience. His prior experience in asset management includes senior positions at Wilshire Associates, Morgan Stanley Investment Management, and Mellon Capital Management.

Mr. O'Neill graduated from Geneva College in 1997 with a Bachelor of Science in Applied Mathematics and a minor in Business Administration. He also received a Master of Science in Organizational Leadership from Geneva College in 1999. In 2004, he graduated from Carnegie Mellon University with a Master of Business Administration degree with concentrations in Finance, Accounting, and Marketing. In 2006, he was awarded the CFA designation.

## **Item 3: Disciplinary Information**

- A. Luke J. O'Neill, CFA has not had any civil or criminal actions brought against him.
- B. Luke J. O'Neill, CFA has not had any administrative proceedings before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority.
- C. Luke J. O'Neill, CFA has not had any proceedings before a self-regulatory organization.
- D. Luke J. O'Neill, CFA has not had proceedings in which a professional attainment, designation, or license was revoked or suspended.

## **Item 4: Other Business Activities**

- A. Luke J. O'Neill, CFA is not engaged in any investment-related businesses outside of CooksonPeirce, nor does he have any applications pending to register with a broker-dealer or other investment firm. Mr. O'Neill does not receive any commissions, bonuses or other compensation based on the sale of securities or other investment products.
- B. Luke J. O'Neill, CFA does not engage in any other business that provides a substantial source of his income or consumes a substantial portion of his time.

## **Item 5: Additional Compensation**

Luke J. O'Neill, CFA does not receive any additional compensation beyond his salary and a bonus based on corporate goals and profits.

## **Item 6: Supervision**

Luke J. O'Neill, CFA is supervised directly by Bruce W. Miller, CFA.

## **ADV Part 2B – Brochure Supplement**

**Aaron C. Gates, CFP®**  
**Client Adviser**

**acg@cooksonpeirce.com**

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This brochure supplement provides information about Aaron C. Gates, CFP® that supplements the CooksonPeirce brochure. A copy of that brochure precedes this supplement. Please contact Aaron C. Gates if the CooksonPeirce brochure is not included with this supplement or if you have any questions about the contents of this supplement.



## **Item 2: Education Background and Business Expertise**

Aaron C. Gates was born on January 20, 1994. He is an Associate Client Advisor with Cookson Peirce & Co., Inc. Aaron is responsible for servicing private client relationships, including comprehensive financial planning and advisory services encompassing investment, retirement, tax, insurance, and estate planning strategies. Aaron has over 5 years of financial industry experience, specializing in financial planning and analysis for individual clients. Prior to joining Cookson Peirce & Co., Inc., Aaron worked as a Client Relationship Manager with Springside Partners LLC in Akron, OH. His professional experience also includes internships with Capital Advisors, Ltd., LLC in Cleveland, OH and SS&G Wealth Management LLC in Akron, OH.

Aaron earned a Bachelor's of Business Administration in Finance with a concentration in Financial Planning from the University of Akron and is a Certified Financial Planner™ Practitioner. He also holds a Series 65 license.

## **Item 3: Disciplinary Information**

- A. Aaron C. Gates has not had any civil or criminal actions brought against him.
- B. Aaron C. Gates has not had any administrative proceedings before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority.
- C. Aaron C. Gates has not had any proceedings before a self-regulatory organization.
- D. Aaron C. Gates has not had proceedings in which a professional attainment, designation, or license was revoked or suspended.

## **Item 4: Other Business Activities**

- A. Aaron C. Gates is not engaged in any investment-related businesses outside of CooksonPeirce, nor does he have any applications pending to register with a broker-dealer or other investment firm.
- B. Aaron C. Gates does not engage in any other business that provides a substantial source of his income or consumes a substantial portion of his time.

## **Item 5: Additional Compensation**

Aaron C. Gates is eligible for additional compensation in the form of a bonus.

## **Item 6: Supervision**

Aaron C. Gates is supervised directly by Janelle M. Fumerola, CFP®, MBA.