



## 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**

With this update, we added information on Invest Stronger, an automated investment advisory solution. Please see Item 4 and Item 5 for complete details.

Additional information was added to Item 4 regarding IRA rollover recommendations and how this creates a conflict of interest.

Additional changes were made for language consistency and clarification.

### **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 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 also provide estate planning for some clients by providing an estate tax analysis. We will review current documents and may recommend basic estate tax saving strategies and demonstrate hypothetical results. If updates or new documents are recommended, CooksonPeirce may recommend the services of other professionals. The client is free to accept or reject any recommendation. CooksonPeirce and its representatives do not serve as attorneys and the services should not be construed as legal advice. CooksonPeirce receives no additional compensation for estate planning advice or consulting services.

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) RBC's MAP Program; (v) Mid Atlantic Capital Group, Inc.'s Mid Atlantic Portfolio Solutions Program; (vi) Boenning & Scattergood's Private Advisor Network Program; and (vii) Smithfield Trust. 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.

CooksonPeirce also provides discretionary management through an automated investment advisory solution, known as Invest Stronger. The minimum account size for this service is \$5,000. Clients complete a brief online questionnaire to assess their risk tolerance and investment needs. The Invest Stronger portfolios consist of three diversified portfolios composed of exchange traded funds and a cash allocation. Based on your personal risk tolerance, you will choose from one of the three investment portfolio options. These portfolios are developed and overseen by the CooksonPeirce's portfolio management team. The portfolios and underlying investments are regularly monitored and rebalanced appropriately. Once enrolled you can update your investment profile and monitor your accounts through a customized dashboard. This service includes profession oversight and access to a live investment professional, available via phone or email.

**IRA Rollover Recommendations:** For purposes of complying with the DOL's Prohibited Transaction Exemption 2020-02 ("PTE 2020-02") where applicable, we are providing the following acknowledgment to you. When we provide investment advice to you regarding your retirement plan account or individual retirement account, we are fiduciaries within the meaning of Title I of the Employee Retirement Income Security Act and/or the Internal Revenue Code, as applicable, which are laws governing retirement accounts. The way we make money creates some conflicts with your interests, so we operate under a special rule that requires us to act in your best interest and not put our interest ahead of yours. Under this special rule's provisions, we must:

- Meet a professional standard of care when making investment recommendations (give prudent advice);
- Never put our financial interests ahead of yours when making recommendations (give loyal advice);
- Avoid misleading statements about conflicts of interest, fees, and investments;
- Follow policies and procedures designed to ensure that we give advice that is in your best interest;
- Charge no more than is reasonable for our services; and
- Give you basic information about conflicts of interest.

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, 2020, the Adviser managed \$2,262,093,003 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

INVEST STRONGER FEE SCHEDULE

.40% on all assets in this portfolio

STA FEE SCHEDULE

1.0% on all assets in this portfolio

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”). Certain CooksonPeirce advisors are Portfolio Managers of the Catalyst Dynamic Alpha Fund. As a subadvisor, CooksonPeirce manages the fund pursuant to the investment strategy and restrictions described in the prospectus. CooksonPeirce receives an investment management fee, administrative fees, and reimbursement of certain operating expenses. 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.

One employee is registered with an unaffiliated Broker/Dealer which is the mutual fund distributor. She does not receive commission in this role alleviating any conflicts of interest.

## **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 distinction 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. 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.

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 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 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 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.

- C. As a result of past participation in TD Ameritrade's AdvisorDirect program (the "referral program"); Advisor received client referrals from TD Ameritrade. TD Ameritrade established the referral program 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 Advisor's management of client portfolios or Advisor's other advice or services. Advisor is no longer participating in the referral program for purposes of receiving client referrals, but it is obligated to pay TD Ameritrade an on-going fee for each successful client relationship established because of past referrals. This fee is usually a percentage (25% of 1%) of the advisory fee that the client pays to Advisor ("Solicitation Fee")

Advisor will also pay TD Ameritrade the Solicitation Fee on any advisory fees received by Advisor from any of a referred client's family members who hired Advisor on the recommendation of such referred client. Advisor will not charge clients referred to it through AdvisorDirect any fees or costs higher than its standard fee schedule offered to its other clients.

## **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.

CooksonPeirce and its employees do not maintain physical custody of your assets and will not intentionally take custody of your cash or securities. Your assets will be held with an independent third-party custodian based on the services provided to you. CooksonPeirce has the ability to directly debit client advisory fees from accounts and if applicable, you will be informed of this procedure to debit fees from your account and will sign or initial acknowledgement.

CooksonPeirce claims custody as a result of its ability to directly debit advisory fees from a few client's banking accounts, in lieu of receiving checks. Additionally, we have several 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. According to SEC Custody Rule, CooksonPeirce is subject to a surprise audit by a public accounting firm based on these claims. 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. When providing investment management services, CooksonPeirce maintains trading authorization over your account and provides management services on a discretionary basis. For accounts in which CooksonPeirce has discretion, as evidenced in the executed investment management agreement between CooksonPeirce and you, the adviser may buy or sell securities without obtaining your approval beforehand. Any exceptions to this would be disclosed in the individual investment management agreement.

## **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.

Generally, private clients will maintain proxy voting authority. For institutional clients or when a private client is unable to maintain proxy voting authority, 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.

**\*Chartered Financial Analyst® (CFA®)** - To earn a CFA charter, you must have four years of qualified investment work experience, become a member of the CFA Institute, pledge to adhere to the CFA Institute Code of Ethics and Standards of Professional Conduct on an annual basis, apply for membership to a local CFA member society, and complete the CFA Program. The CFA Program is organized into three levels, each culminating in a six-hour exam. In passing these exams, candidates demonstrate their competence, integrity and extensive knowledge in accounting, ethical and professional standards, economics, portfolio management and security analysis. ([www.cfainstitute.org](http://www.cfainstitute.org))

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

Bruce W. Miller, CFA<sup>®</sup> 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<sup>®</sup> (Chartered Financial Analyst<sup>®</sup>) designation by the CFA Institute in 1991.

## **Item 3: Disciplinary Information**

- A. Bruce W. Miller, CFA<sup>®</sup> has not had any civil or criminal actions brought against him.
- B. Bruce W. Miller, CFA<sup>®</sup> 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<sup>®</sup> has not had any proceedings before a self-regulatory organization.
- D. Bruce W. Miller, CFA<sup>®</sup> 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<sup>®</sup> 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<sup>®</sup> 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<sup>®</sup> 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<sup>®</sup> is supervised by the Board of Directors of Cookson Peirce & Co., Inc.

## ADV Part 2B – Brochure Supplement

**Cory S. Krebs, CFA®\***  
**President and Chief Operating Officer**

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

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

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.

\* **Chartered Financial Analyst® (CFA®)** - To earn a CFA charter, you must have four years of qualified investment work experience, become a member of the CFA Institute, pledge to adhere to the CFA Institute Code of Ethics and Standards of Professional Conduct on an annual basis, apply for membership to a local CFA member society, and complete the CFA Program. The CFA Program is organized into three levels, each culminating in a six-hour exam. In passing these exams, candidates demonstrate their competence, integrity and extensive knowledge in accounting, ethical and professional standards, economics, portfolio management and security analysis. ([www.cfainstitute.org](http://www.cfainstitute.org))

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

Cory S. Krebs, CFA<sup>®</sup> 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<sup>®</sup> (Chartered Financial Analyst<sup>®</sup>) designation by the CFA Institute in October 2007.

## **Item 3: Disciplinary Information**

- A. Cory S. Krebs, CFA<sup>®</sup> has not had any civil or criminal actions brought against him.
- B. Cory S. Krebs, CFA<sup>®</sup> 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<sup>®</sup> has not had any proceedings before a self-regulatory organization.
- D. Cory S. Krebs, CFA<sup>®</sup> 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<sup>®</sup> 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<sup>®</sup> 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<sup>®</sup> 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<sup>®</sup> 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. Ms. Miller does not receive any commissions, bonuses or other compensation based on the sale of securities or other investment products.
- 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

**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.

\* **Chartered Financial Analyst® (CFA®)** - To earn a CFA charter, you must have four years of qualified investment work experience, become a member of the CFA Institute, pledge to adhere to the CFA Institute Code of Ethics and Standards of Professional Conduct on an annual basis, apply for membership to a local CFA member society, and complete the CFA Program. The CFA Program is organized into three levels, each culminating in a six-hour exam. In passing these exams, candidates demonstrate their competence, integrity and extensive knowledge in accounting, ethical and professional standards, economics, portfolio management and security analysis. ([www.cfainstitute.org](http://www.cfainstitute.org))

## **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 22 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, Luke 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

**Sean Volk, CFA<sup>®\*</sup>**  
**Associate Portfolio Manager/Research Analyst**

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

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

\* **Chartered Financial Analyst<sup>®</sup> (CFA<sup>®</sup>)** - To earn a CFA charter, you must have four years of qualified investment work experience, become a member of the CFA Institute, pledge to adhere to the CFA Institute Code of Ethics and Standards of Professional Conduct on an annual basis, apply for membership to a local CFA member society, and complete the CFA Program. The CFA Program is organized into three levels, each culminating in a six-hour exam. In passing these exams, candidates demonstrate their competence, integrity and extensive knowledge in accounting, ethical and professional standards, economics, portfolio management and security analysis. ([www.cfainstitute.org](http://www.cfainstitute.org))

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

Sean Volk, CFA® was born on May 28, 1989. Sean is an Associate Portfolio Manager/Research Analyst with Cookson Peirce & Co., Inc. Sean is responsible for daily portfolio management and research. Sean has over 10 years of financial industry experience, working in derivatives, fixed income, and equities. Prior to joining Cookson Peirce & Co., Inc., Sean worked as a Structured Products Portfolio Analyst with Western Asset Management in Pasadena, CA. His professional experience also includes positions with BNY Mellon and TriOptima.

Sean graduated from Cornell University in 2012 with a Bachelor of Science in Applied Economics and Management, and from Johns Hopkins University in 2019 with a Master of Science in Financial Mathematics. Sean was awarded the CFA® designation in 2016.

## **Item 3: Disciplinary Information**

- A. Sean Volk, CFA® has not had any civil or criminal actions brought against him.
- B. Sean Volk, 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. Sean Volk, CFA® has not had any proceedings before a self-regulatory organization.
- D. Sean Volk, CFA® has not had proceedings in which a professional attainment, designation, or license was revoked or suspended.

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

- A. Sean Volk, 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. Volk does not receive any commissions, bonuses or other compensation based on the sale of securities or other investment products.
- B. Sean Volk, 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**

Sean Volk, CFA® does not receive any additional compensation beyond his salary and a bonus based on corporate goals and profits.

## **Item 6: Supervision**

Sean Volk, CFA® is supervised directly by Luke J. O'Neill, CFA®, Portfolio Manager.

## 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.

\* **Chartered Financial Consultant (ChFC®)** - The Chartered Financial Consultant (ChFC®) program prepares you to meet the advanced financial planning needs of individuals, professionals and small business owners. The ChFC requires three years of full-time, relevant business experience, nine two-hour course specific proctored exams, and 30 hours of continuing education every two years. Holders of the ChFC designation must adhere to The American College's Code of Ethics. ([www.theamericancollege.edu](http://www.theamericancollege.edu))

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

Daniel S. Henderson, ChFC® 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\*, CDFATM\*\***  
**Lead Advisor**

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

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

\* **Certified IRA Services Professional (CISP)** - The CISP certification is issued by the American Bankers Association's Institute of Certified Bankers. Successful candidates must complete two years of dedicated IRA operational and technical experience plus completion of an educational program, or complete four years of dedicated IRA operational and technical experience. Successful candidates must also pass a final certification examination. Certified IRA Services Professionals must complete 24 credits of continuing education every three years and adhere to the Institute of Certified Banker's Code of Ethics. ([www.aba.com](http://www.aba.com))

\*\* **Certified Divorce Financial Analyst® (CDFATM)** - The CDFATM is a professional certification granted in the United States and Canada by the Institute for Divorce Financial AnalystsTM. To attain the right to use the CDFATM certification, an individual must satisfactorily complete a comprehensive course of study, pass a four-part (in the USA) or three-part (in Canada) Certification Examination and have a minimum of three years' experience in a financial or legal capacity prior to earning the CDFATM. Fifteen hours of continuing education is required every two years and practitioners must agree to abide by a strict code of professional conduct known as the "Code of Ethics and Professional Responsibility". ([www.institutedfa.com](http://www.institutedfa.com))

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

Joshua C. Beas, CISP, CDFATM 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 AnalystsTM where he earned designations as a Certified IRA Service Professional (CISP) and Certified Divorce Financial Analyst® (CDFATM). 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, CISP, CDFATM has not had any civil or criminal actions brought against him.
- B. Joshua C. Beas, CISP, CDFATM 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, CISP, CDFATM has not had any proceedings before a self-regulatory organization.
- D. Joshua C. Beas, CISP, CDFATM 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, CISP, CDFATM 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, CISP, CDFATM 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, CISP, CDFATM does not receive any additional compensation beyond his salary and as a shareholder, potential distribution of corporate profits.

## **Item 6: Supervision**

Joshua C. Beas, CISP, CDFATM is supervised directly by Daniel J. Meyers, CFP®, Director of Private Client.

## ADV Part 2B – Brochure Supplement

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

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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, CFP® if the CooksonPeirce brochure is not included with this supplement or if you have any questions about the contents of this supplement.

\* **CERTIFIED FINANCIAL PLANNER™ (CFP®)** – To obtain the CFP® certification, an individual must complete an advanced college-level course of study of the financial planning subject areas, attain a bachelor's degree and pass the comprehensive CFP® Certification Examination. In addition, individuals must complete at least three years of qualifying full-time work experience and agree to be bound by CFP Board's Standards of Professional Conduct. Thirty hours of ongoing continuing education is required every two years. (www.cfp.net)

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

Christian M. Brown, CFP® 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. Chris also holds a Series 65 license.

## **Item 3: Disciplinary Information**

- A. Christian M. Brown, CFP® has not had any civil or criminal actions brought against him.
- B. Christian M. Brown, CFP® 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, CFP® has not had any proceedings before a self-regulatory organization.
- D. Christian M. Brown, CFP® 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, CFP® 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. Brown does not receive any commissions, bonuses or other compensation based on the sale of securities or other investment products.
- B. Christian M. Brown, CFP® 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, CFP® is supervised directly by Cory S. Krebs, CFA®.

## ADV Part 2B – Brochure Supplement

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

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

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

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 J. Meyers, CFP® if the CooksonPeirce brochure is not included with this supplement or if you have any questions about the contents of this supplement.

\* **CERTIFIED FINANCIAL PLANNER™ (CFP®)** – To obtain the CFP® certification, an individual must complete an advanced college-level course of study of the financial planning subject areas, attain a bachelor's degree and pass the comprehensive CFP® Certification Examination. In addition, individuals must complete at least three years of qualifying full-time work experience and agree to be bound by CFP Board's Standards of Professional Conduct. Thirty hours of ongoing continuing education is required every two years. (www.cfp.net)

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

Daniel J. Meyers, CFP® was born on June 27, 1981. Mr. Meyers is the Director of Private Client Group responsible for overseeing the advisory team and growth of the group. He also manages high net worth private client relationships and provides financial planning for clients of the firm. Dan has over 15 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, CFP® has not had any civil or criminal actions brought against him.
- B. Daniel J. Meyers, CFP® 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, CFP® has not had any proceedings before a self-regulatory organization.
- D. Daniel J. Meyers, CFP® 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, CFP® 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, CFP® 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, CFP® does not receive any additional compensation beyond his salary and as a shareholder, potential distribution of corporate profits.

## **Item 6: Supervision**

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

## ADV Part 2B – Brochure Supplement

**Janelle M. Woods, CFP®\*, MBA**  
**Regional Managing Director**

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

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

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

\* **CERTIFIED FINANCIAL PLANNER™ (CFP®)** – To obtain the CFP® certification, an individual must complete an advanced college-level course of study of the financial planning subject areas, attain a bachelor's degree and pass the comprehensive CFP® Certification Examination. In addition, individuals must complete at least three years of qualifying full-time work experience and agree to be bound by CFP Board's Standards of Professional Conduct. Thirty hours of ongoing continuing education is required every two years. ([www.cfp.net](http://www.cfp.net))

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

Janelle M. Woods, CFP<sup>®</sup>, MBA was born on January 21, 1974. Mrs. Woods is a Client Advisor responsible for managing private client relationships and financial planning for clients of the firm. Janelle has over 22 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<sup>™</sup> Practitioner.

## **Item 3: Disciplinary Information**

- A. Janelle M. Woods, CFP<sup>®</sup>, MBA has not had any civil or criminal actions brought against her.
- B. Janelle M. Woods, CFP<sup>®</sup>, MBA 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. Woods, CFP<sup>®</sup>, MBA has not had any proceedings before a self-regulatory organization.
- D. Janelle M. Woods, CFP<sup>®</sup>, MBA has not had proceedings in which a professional attainment, designation, or license was revoked or suspended.

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

- A. Janelle M. Woods, CFP<sup>®</sup>, MBA 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. Woods does not receive any commissions, bonuses or other compensation based on the sale of securities or other investment products.
- B. Janelle M. Woods, CFP<sup>®</sup>, MBA 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. Woods, CFP<sup>®</sup>, MBA does not receive any additional compensation beyond her salary and a bonus based on corporate goals.

## **Item 6: Supervision**

Janelle M. Woods, CFP<sup>®</sup>, MBA is supervised by the Board of Directors of Cookson Peirce & Co., Inc.

## 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, CAP® if the CooksonPeirce brochure is not included with this supplement or if you have any questions about the contents of this supplement.

\* **Chartered Advisor in Philanthropy® (CAP®)** - The CAP® designation focuses on the best strategies for philanthropic planning. The three-course CAP® program will teach you the skills you need to advise clients on charitable giving or guide charitable organizations in their fundraising efforts. Each course concludes with a two-hour exam. To receive a CAP® designation, you must successfully complete all courses in the program, meet experience requirements and ethics standards, and agree to comply with The American College Code of Ethics and Procedures. Three years of full-time relevant business experience is required for the CAP® program. (www.theamericancollege.edu)

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

Beth A. Williams, CAP<sup>®</sup> 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 8 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<sup>®</sup>) designation in 2019.

## **Item 3: Disciplinary Information**

- A. Beth A. Williams, CAP<sup>®</sup> has not had any civil or criminal actions brought against her.
- B. Beth A. Williams, CAP<sup>®</sup> 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, CAP<sup>®</sup> has not had any proceedings before a self-regulatory organization.
- D. Beth A. Williams, CAP<sup>®</sup> 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, CAP<sup>®</sup> 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, CAP<sup>®</sup> 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, CAP<sup>®</sup> does not receive any additional compensation beyond her salary and a bonus based on corporate goals.

## **Item 6: Supervision**

Beth A. Williams, CAP<sup>®</sup> is supervised directly by Daniel J. Meyers, CFP<sup>®</sup>, Director of Private Client.

## 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, CFP® if the CooksonPeirce brochure is not included with this supplement or if you have any questions about the contents of this supplement.

\* **CERTIFIED FINANCIAL PLANNER™ (CFP®)** – To obtain the CFP® certification, an individual must complete an advanced college-level course of study of the financial planning subject areas, attain a bachelor's degree and pass the comprehensive CFP® Certification Examination. In addition, individuals must complete at least three years of qualifying full-time work experience and agree to be bound by CFP Board's Standards of Professional Conduct. Thirty hours of ongoing continuing education is required every two years. (www.cfp.net)

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

Scott B. Oros, CFP® was born on July 19, 1985. Mr. Oros is a Lead Advisor responsible for managing private client relationships and financial planning for clients of the firm. Scott has over 12 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, CFP® has not had any civil or criminal actions brought against him.
- B. Scott B. Oros, CFP® 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, CFP® has not had any proceedings before a self-regulatory organization.
- D. Scott B. Oros, CFP® 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, CFP® 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, CFP® 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, CFP® does not receive any additional compensation beyond his salary and a bonus based on corporate goals and profits.

## **Item 6: Supervision**

Scott B. Oros, CFP® is supervised directly by Daniel J. Meyers, CFP®, Director of Private Client.

## ADV Part 2B – Brochure Supplement

**Aaron C. Gates, CFP®\***  
**Client Advisor**

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

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

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, CFP® if the CooksonPeirce brochure is not included with this supplement or if you have any questions about the contents of this supplement.

\* **CERTIFIED FINANCIAL PLANNER™ (CFP®)** – To obtain the CFP® certification, an individual must complete an advanced college-level course of study of the financial planning subject areas, attain a bachelor's degree and pass the comprehensive CFP® Certification Examination. In addition, individuals must complete at least three years of qualifying full-time work experience and agree to be bound by CFP Board's Standards of Professional Conduct. Thirty hours of ongoing continuing education is required every two years. (www.cfp.net)

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

Aaron C. Gates, CFP® 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 6 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. Aaron also holds a Series 65 license.

## **Item 3: Disciplinary Information**

- A. Aaron C. Gates, CFP® has not had any civil or criminal actions brought against him.
- B. Aaron C. Gates, CFP® 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, CFP® has not had any proceedings before a self-regulatory organization.
- D. Aaron C. Gates, CFP® 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, CFP® 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. Gates does not receive any commissions, bonuses or other compensation based on the sale of securities or other investment products.
- B. Aaron C. Gates, CFP® 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, CFP® is eligible for additional compensation in the form of a bonus.

## **Item 6: Supervision**

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

## ADV Part 2B – Brochure Supplement

**Scott Cooper, CFP®\***  
**Client Advisor**

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

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

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

\* **CERTIFIED FINANCIAL PLANNER™ (CFP®)** – To obtain the CFP® certification, an individual must complete an advanced college-level course of study of the financial planning subject areas, attain a bachelor's degree and pass the comprehensive CFP® Certification Examination. In addition, individuals must complete at least three years of qualifying full-time work experience and agree to be bound by CFP Board's Standards of Professional Conduct. Thirty hours of ongoing continuing education is required every two years. ([www.cfp.net](http://www.cfp.net))

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

Scott Cooper, CFP® was born on June 4, 1992. Mr. Cooper is a Client Advisor responsible for managing private client relationships and financial planning for clients of the firm. Scott has 5 years of financial industry experience, specializing in comprehensive financial planning, portfolio construction and management, and trust services. Prior to joining Cookson Peirce & Co., Inc., Scott worked as a Financial Planner and Advisor for CAPTRUST in Green, Ohio where he provided comprehensive planning and wealth management to individuals and families. His professional experience also includes working as a Portfolio Manager in the Investment & Trust Group with Richland Bank (now Park National Bank) based in Mansfield, Ohio.

Scott earned a Bachelor of Science degree in Social Studies Education from Ashland University and his Certified Financial Planner® designation from the College for Financial Planning.

## **Item 3: Disciplinary Information**

- A. Scott Cooper, CFP® has not had any civil or criminal actions brought against him.
- B. Scott Cooper, CFP® 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 Cooper, CFP® has not had any proceedings before a self-regulatory organization.
- D. Scott Cooper, CFP® has not had proceedings in which a professional attainment, designation, or license was revoked or suspended.

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

- A. Scott Cooper, CFP® 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. Cooper does not receive any commissions, bonuses or other compensation based on the sale of securities or other investment products.
- B. Scott Cooper, CFP® 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 Cooper, CFP® does not receive any additional compensation beyond his salary and a bonus based on corporate goals and profits.

## **Item 6: Supervision**

Scott Cooper, CFP® is supervised directly by Janelle M. Woods, CFP®, MBA.

## ADV Part 2B – Brochure Supplement

**Katharine Perry, CFP®\***  
**Client Advisor**

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

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

\* **CERTIFIED FINANCIAL PLANNER™ (CFP®)** – To obtain the CFP® certification, an individual must complete an advanced college-level course of study of the financial planning subject areas, attain a bachelor's degree and pass the comprehensive CFP® Certification Examination. In addition, individuals must complete at least three years of qualifying full-time work experience and agree to be bound by CFP Board's Standards of Professional Conduct. Thirty hours of ongoing continuing education is required every two years. ([www.cfp.net](http://www.cfp.net))

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

Katharine Perry, CFP® was born on September 17, 1989. She is a Client Advisor with Cookson Peirce & Co., Inc. Katharine is responsible for building and managing private client relationships and financial planning for her clients. Katharine has over 8 years of financial industry experience, specializing in helping clients create a plan for their wealth and helping them invest to build upon it. Prior to joining Cookson Peirce & Co., Inc., Katharine worked as a Financial Advisor with Fort Pitt Capital Group in Pittsburgh, PA, and prior to that as a Financial Advisor with Morgan Stanley in Pittsburgh, PA.

Katharine earned a Bachelors of Science degree in Psychology from the University of Pittsburgh, and earned her Certified Financial Planner™ Practitioner Designation in 2017. Katharine also maintains a Series 65 License.

## **Item 3: Disciplinary Information**

- A. Katharine Perry, CFP® has not had any civil or criminal actions brought against her.
- B. Katharine Perry, CFP® 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. Katharine Perry, CFP® has not had any proceedings before a self-regulatory organization.
- D. Katharine Perry, CFP® has not had proceedings in which a professional attainment, designation, or license was revoked or suspended.

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

- A. Katharine Perry, CFP® 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. Perry does not receive any commissions, bonuses or other compensation based on the sale of securities or other investment products.
- B. Katharine Perry, CFP® 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**

Katharine Perry, CFP® does not receive any additional compensation beyond her salary and a bonus based on corporate and individual goals.

## **Item 6: Supervision**

Katharine Perry, CFP® is supervised directly by Daniel J. Meyers, CFP®, Director of Private Client.

## ADV Part 2B – Brochure Supplement

**Michael P. Doyle, CFA<sup>®\*</sup>, CFP<sup>®\*\*</sup>**  
**Client Advisor**

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

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

\* **Chartered Financial Analyst<sup>®</sup> (CFA<sup>®</sup>)** - To earn a CFA charter, you must have four years of qualified investment work experience, become a member of the CFA Institute, pledge to adhere to the CFA Institute Code of Ethics and Standards of Professional Conduct on an annual basis, apply for membership to a local CFA member society, and complete the CFA Program. The CFA Program is organized into three levels, each culminating in a six-hour exam. In passing these exams, candidates demonstrate their competence, integrity and extensive knowledge in accounting, ethical and professional standards, economics, portfolio management and security analysis. ([www.cfainstitute.org](http://www.cfainstitute.org))

\*\* **CERTIFIED FINANCIAL PLANNER<sup>™</sup> (CFP<sup>®</sup>)** – To obtain the CFP<sup>®</sup> certification, an individual must complete an advanced college-level course of study of the financial planning subject areas, attain a bachelor's degree and pass the comprehensive CFP<sup>®</sup> Certification Examination. In addition, individuals must complete at least three years of qualifying full-time work experience and agree to be bound by CFP Board's Standards of Professional Conduct. Thirty hours of ongoing continuing education is required every two years. ([www.cfp.net](http://www.cfp.net))

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

Michael P. Doyle, CFA<sup>®</sup>, CFP<sup>®</sup> was born on October 17<sup>th</sup>, 1988. He is a Client Advisor with Cookson Peirce & Co., Inc. Michael is responsible for managing client relationships and developing financial plans for those clients. Michael has over 10 years of financial industry experience, specializing in data integrity, wholistic financial planning, estate planning, and portfolio management. Prior to joining Cookson Peirce & Co., Inc., Michael worked as a Wealth Advisor with The Coury Firm in Pittsburgh, Pennsylvania.

Michael earned a Bachelor of Science degree in Accounting from West Chester University, he holds the CFA<sup>®</sup> charter and is a Certified Financial Planner<sup>™</sup> Practitioner.

## **Item 3: Disciplinary Information**

- A. Michael P. Doyle, CFA<sup>®</sup>, CFP<sup>®</sup> has not had any civil or criminal actions brought against him.
- B. Michael P. Doyle, CFA<sup>®</sup>, CFP<sup>®</sup> 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. Michael P. Doyle, CFA<sup>®</sup>, CFP<sup>®</sup> has not had any proceedings before a self-regulatory organization.
- D. Michael P. Doyle, CFA<sup>®</sup>, CFP<sup>®</sup> has not had proceedings in which a professional attainment, designation, or license was revoked or suspended.

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

- A. Michael P. Doyle, CFA<sup>®</sup>, CFP<sup>®</sup> 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. Doyle does not receive any commissions, bonuses or other compensation based on the sale of securities or other investment products.
- B. Michael P. Doyle, CFA<sup>®</sup>, CFP<sup>®</sup> 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**

Michael P. Doyle, CFA<sup>®</sup>, CFP<sup>®</sup> does not receive any additional compensation beyond his salary and a bonus based on corporate and individual goals.

## **Item 6: Supervision**

Michael P. Doyle, CFA<sup>®</sup>, CFP<sup>®</sup> is supervised directly by Daniel J. Meyers, CFP<sup>®</sup>, Director of Private Client.