

Item 1. **Introduction** CooksonPeirce <https://www.cooksonpeirce.com/> is registered with the Securities and Exchange Commission (SEC) [SEC.gov](https://www.sec.gov/) | [HOME](#) as an investment adviser. Brokerage and investment advisory services and fees differ, and it is important for you to understand these differences. Free and simple tools are available to research firms and financial professionals at www.investor.gov/CRS which also provides educational materials about broker-dealers, investment advisers, and investing.

Item 2. **Relationships and Services** **What investment services and advice can you provide me?** We offer wealth and investment advisory services to individuals, including high-net worth individuals and organizations through financial planning and investment management manufactured in house.

Founded in 1984, CooksonPeirce develops and delivers investment strategies using a proprietary, time-tested process that focuses on hard data and analytics. This removes emotion from the financial investment equation, replacing it with continuous evaluation and regimented decision making. Our strategies most often involve individual stocks, bonds and exchange traded funds. Our process paired with proactive planning prepares our clients for retirement, tax, estate, education and cash flow needs.

Monitoring

We regularly monitor each account on an ongoing, continuous basis. CooksonPeirce conducts account reviews on a monthly basis to ensure your investments are in line with your investment objectives.

Investment Authority

Our clients grant us ongoing discretionary authority to manage their accounts, which means that we can buy and sell investments on behalf of our clients without seeking permission on a trade by trade basis.

Account Minimums and Other Requirements

We accept clients with a minimum of \$1,000,000 of investible assets. Assets of family members are aggregated for purposes of meeting this minimum.

Additional information about CooksonPeirce services is available on Part 2 of our Form ADV, which is available at <https://www.cooksonpeirce.com/adv2/>

Conversation Starter. Ask your financial professional –

- **Given my financial situation, should I choose an investment advisory service? Why or why not?**
- **How will you choose investments to recommend to me?**
- **What is your relevant experience, including your licenses, education and other qualifications? What do these qualifications mean?**

Item 3. **Fees, Costs, Conflicts, and Standard of Conduct**

A. What fees will I pay?

CooksonPeirce charges clients an investment management fee that is based on both the value of each client's assets under management and asset type. Fees are charged quarterly in advance, based on account values at the start of each quarter. Our firm's fees generally increase as client accounts grow, so we have an incentive to grow our clients' assets under our management. Additional information about our firm's fees are included in Item 5 of Part 2 of Form ADV, available at <https://www.cooksonpeirce.com/adv2/>

In addition to CooksonPeirce investment management fee, clients could bear transaction fees when we buy or sell investments. Clients may also pay fees to the broker-dealer or bank that maintains each account (called “custody” fees). Our firm could also purchase exchange traded funds for a portion of clients’ portfolios. Such investment vehicles pay their own management, transaction, and administrative fees and expenses, and those fees and expenses are indirectly borne by the investors in those vehicles, including CooksonPeirce’s clients.

You will pay fees and costs whether you make or lose money on your investments. Fees and costs will reduce any amount of money you make on your investments over time. Please make sure you understand what fees and costs you are paying.

Conversation Starter. Ask your financial professional –

- **Help me understand how these fees and costs might affect my investments. If I give you \$500,000 to invest, how much will go to fees and costs, and how much will be invested for me?**

B. What are your legal obligations to me when acting as my investment adviser? How else does your firm make money and what conflicts of interest do you have?

When we act as your investment adviser, we have to act in your best interest and not put our interest ahead of yours. At the same time, the way we make money creates some conflicts with your interests. You should understand and ask us about these conflicts because they can affect the investment advice we provide to you. Here is an example to help you understand what this means:

- When you are charged an asset-based fee, the more assets there are in your account, the more you will pay in fees. It will benefit CooksonPeirce to recommend that clients increase the assets in your account and make IRA rollovers from 401(k) plans to accounts managed by CooksonPeirce.

Additional information about conflicts of interest between CooksonPeirce and its clients is available in Part 2 of our Form ADV, which is available at <https://www.cooksonpeirce.com/adv2/>

Conversation Starter. Ask your financial professional –

- **How might your conflicts of interest affect me, and how will you address them?**

C. How do your financial professionals make money?

CooksonPeirce financial professionals receive a salary and may receive a bonus based on assets under management of the individual adviser. Compensation is set with the intention of attracting and retaining highly qualified professionals.

Item 4.
**Disciplinary
History**

Do your financial professionals have legal or disciplinary history? No – For the Firm. Yes – For one of our financial professionals. Visit www.investor.gov/crs for a free and simple search tool to research us and our financial professionals.

Conversation Starter. Ask your financial professional –

- **As a financial professional, do you have any disciplinary history? If so, for what type of conduct?**

Item 5.
**Additional
Information**

Additional information about our services can be found at <https://www.cooksonpeirce.com/adv2/>
If you have any questions about the contents of this brochure or would like to request a copy of this relationship summary, please contact Robin Miller at 412-471-5320.

Conversation Starter. Ask your financial professional –

- **Who is my primary contact person? Is he or she a representative of an investment-adviser or a broker dealer? Who can I talk to if I have concerns about how this person is treating me?**



Form ADV Part 2A – Firm Brochure

Mailing Address

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Principal Office Location

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www.cooksonpeirce.com

March 2023

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. 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.

Additional information about Cookson Peirce & Co., Inc. is available on the SEC's website at 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 updated Item 4 Advisory Services and Item 5 Fees and Compensation to better explain the services we offer. We separated the services between our private client and institutional clients to add additional clarity. Please see Item 4 and Item 5 for complete details.

Information was added to Item 12 regarding mutual fund share class selection 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.



Notice of Privacy Policy

January 2023

To Our Valued Clients:

Each registered investment adviser is legally required to describe its privacy policy to clients. At CooksonPeirce, we are committed to protecting your privacy and have policies in place to maintain the confidentiality and security of your personal information.

We collect nonpublic personal information about you from the following sources:

- Information we receive from you either orally or in writing, for example, on forms, worksheets, copies of financial statements and/or tax returns, and email. Among this information may include your name, address, birth date, social security number, assets, and income.
- Information about your transactions placed by us on your behalf with securities broker-dealers and/or mutual fund companies.

We do not disclose any nonpublic personal information about our current, former, or prospective clients to anyone, except as permitted by law:

- In the normal course of our business, to non-affiliated third parties:
 - Financial service providers, such as securities broker-dealers and/or mutual fund companies, in order to establish and maintain an account or accounts as requested and authorized by you.
 - Others, such as your tax advisor and/or attorney, only if authorized by you and within the guidelines you establish.
- To comply with legal or regulatory requirements:
 - As imposed by government agencies, the courts, parties to lawsuits, and regulators.

We maintain physical, electronic, and procedural safeguards that comply with federal regulations to protect your nonpublic personal information. When we furnish personal information to a financial service provider as indicated above, we require that provider to agree to safeguard your information, to use the information only for the intended purpose, and to abide by applicable law.

We adhere to these same policies and procedures in conducting the business of our mutual fund, Catalyst Dynamic Alpha Fund, and require the service providers and brokerage firms with which we work to meet the same standards as those described above for our individual clients whose assets we manage.

At CooksonPeirce, we value our relationship with you, and recognize and respect your privacy concerns. We are committed to safeguarding information about you and welcome any comments or suggestions on how we can better serve you.

Cookson, Peirce & Co., Inc.

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