



COMPREHENSIVE FINANCIAL Planning and Wealth Management Services

Founded in 1969, The Cooke Financial Group is a premier investment Advisor, known for its tradition of providing superior client service and steady investment performance across generations and through all market cycles.

Based in Indianapolis, our award-winning team of Advisors offers a distinctive blend of holistic financial planning, professional investment and wealth management consulting services for individuals and their families, as well as for nonprofit organizations, corporations, retirement plans, and trusts. As of September 30, 2018, the Cooke Financial Group had more than \$2 billion in client assets under management.

As an independent Advisor, Cooke Financial Group provides truly objective advice and financial guidance that is always conflict free and aligned with each client's individual goals and objectives — backed by the strength of **Sanctuary Wealth Partners** — a partner-owned and partner-led network of independent Advisors.

It is through the Sanctuary network that the Cooke Financial Group pioneered the concept of Partnered IndependenceSM by providing like-minded independent Advisors open-architecture access to best-in-class investments, resources, and operational support.

OUR HERITAGE OF SUCCESS

The Cooke Financial Group celebrates its fiftieth year of delivering exceptional client service in January 2019. This heritage of success began in 1969 when John D. Cooke founded the company. Pioneering the process of evaluating and selecting professional money management firms for the benefit of his clients, John launched his career in the financial services industry at Thomson McKinnon Securities. At Cooke Financial Group, John and his team were early adopters of the concept of comprehensive financial planning and wealth management; to this day, their independent, objective approach and profound experience help identify financial solutions that most ideally address client goals and priorities.



John D. Cooke, Founder

Throughout his career, John was widely recognized as an industry leader and received many accolades and awards for his accomplishments. He was listed in the 1994 Broker Hall of Fame by *Research* magazine, and consistently appeared in *Barron's* Top 100 Financial Advisors from 2004 to 2009. He was honored for his performance through membership in Wells Fargo's prestigious Recognition Council for 30 consecutive years and was a recipient of the coveted "Wells Fargo Spirit" Award. In June 2012, John also earned the well-deserved Lifetime Premier Advisor designation from Wells Fargo Advisors. In 2008, Cooke Financial Group was named the #1 Family Team in America by *Research* magazine/The Winner's Circle.

John's legacy lives on as our Indianapolis-based practice is still recognized by experts as one of the nation's leading financial advisory teams — a testament to the ongoing success enjoyed by our second- and third-generation families whose wealth continues to be managed by the Cooke Financial Group.



concept of partnered independence and has since been a chief advocate for the network — helping independent Advisors build their businesses by providing open-architecture access to best-in-class investments, resources, and support, while maintaining their entrepreneurial independence.

WHAT WE BELIEVE

At Cooke Financial Group, we firmly believe our job is not to sell you products, but to provide financial solutions. Whatever your needs, our independent, objective approach seeks only to identify the best possible investment solutions to meet your objectives. Our goal is to represent your interests and maximize your financial potential.

At Cooke Financial Group, we consider our fiduciary responsibilities to be a sacred trust. There are no hidden agendas, conflicts of interest, or sales contests to win — so we are always completely aligned with your goals.

As a second-generation family business, Cooke Financial Group considers our clients to be part of our extended family. We work hard for the success of our clients — not because it's our job, but because we care about you and your family.

WHAT SETS US APART

- **Customized Client Experience.** Our financial planning approach, combined with our deliberate investment process and conflict-free guidance, provides clients with an unsurpassed and customized client experience.
- **Award-Winning Certified Experts.** With more than 200 years of combined experience in the financial services industry, we offer a wide range of financial expertise to help clients prosper. We bring together Certified Investment Management Analysts® (CIMA®), CERTIFIED FINANCIAL PLANNERS™ (CFP®), Certified Public Accountants (CPAs), Attorneys, and Senior Institutional Portfolio Managers to help you meet financial goals for today and for generations to come.
- **Comprehensive Family Office Services.** We emphasize financial planning, tax strategies and intelligent, tailored solutions for estates, trusts, and foundations.
- **Conflict-Free Guidance.** We take our fiduciary responsibilities seriously. At Cooke, there are no hidden agendas or conflicts of interest. Because our practice is



- **Partnered IndependenceSM**. As a partner member of the **Sanctuary Wealth Partners** network of independent Advisors, the Cooke Financial Group has access to all of the resources of a larger firm such as best-in-class operational support, a wide selection of products and services, and cutting-edge technology.

Investments & Wealth InstituteTM (The Institute) is the owner of the certification marks CIMA[®] and Certified Investment Management Analyst[®].

Certified Financial Planner Board of Standards Inc. owns the certification marks CFP[®] and CERTIFIED FINANCIAL PLANNERTM in the U.S.



Our Team

THE COOKE FINANCIAL GROUP TEAM

Cooke Financial Group has its roots as a family business, and is committed to the success of every one of its clients.

The Cooke Financial Group's award-winning team of Advisors has more than 200 years of combined experience providing comprehensive investment and wealth management consulting services for individuals, families, nonprofit organizations, corporations, retirement plans, and trusts.

Leadership





J. Christopher Cooke, CIMA®
Partner, Senior Institutional Consultant

 317.814.7810

 chris.cooke@cookefg.com

[VIEW BIO](#)



Brian F. Cooke, CIMA®
Partner, Senior Institutional Consultant

 317.814.7808


@ brian.cooke@cookefg.com

[VIEW BIO](#)



Nancy Hague, CFP®

Senior Vice President, Wealth Advisor

 317.814.7801

@ nancy.hague@cookefg.com

[VIEW BIO](#)



Lisa Grimes, CFP®

Senior Vice President, Wealth Advisor

 317.814.7803

@ lisa.grimes@cookefg.com

[VIEW BIO](#)



Kevin McCurdy, CFP®

Senior Vice President, Wealth Advisor

 317.814.7811

 kevin.mccurdy@cokefg.com

[VIEW BIO](#)



Tammy Williams

Vice President, Wealth Advisor

 317.814.7812

@ tammy.williams@cookefg.com

[VIEW BIO](#)

Client Support Team



Dana Green

Vice President, Associate Team Leader

 317.814.7806

@ dana.green@cookefg.com



Kat Sheffer

Officer, Senior Client Associate

📞 317.814.7802


@ kat.sheffer@cookefg.com



Kris Heide

Officer, Senior Client Associate

 317.814.7805

 kris.heide@cokefg.com



Christine Barbo

Client Associate

 317.814.7817

@ christine.barbo@cookefg.com



Adrienne Monka

Client Associate

 317.814.7807

@ adrienne.monka@cookefg.com



At the Cooke Financial Group, we are honored to have been widely recognized both locally and nationally by industry publications as one of the nation's leading financial advisory teams. We believe such recognition is a testament to the ongoing success enjoyed by our second- and third-generation families whose wealth continues to be managed by the Cooke Financial Group.



Forbes Best-in-State Wealth Advisors (2019). Chris and Brian Cooke were named to the *Forbes'* 2019 List of Best-in-State Wealth Advisors, a ranking of the best national, regional, and independent firms in the United States, for the second consecutive year. Out of more than 29,000 nominations submitted and 44 Advisors recognized in all of Indiana (the full list can be viewed [here](#)), the Cooke brothers were ranked #1 and #2 in the state.

Forbes Top 250 Wealth Advisors (2018). The *Forbes* list of top wealth Advisors includes 250 Advisors across the nation selected from more than 25,000 nominations by SHOOK Research. While this is the first year that the Cooke brothers have been nominated to the list, Brian and Chris Cooke were the only two Advisors from Indiana included in the ranking this year. (The full list can be viewed [here](#).)



management, compliance record, and track record for encompassing best practices. To qualify for ranking, an Advisor must have a minimum of seven years of experience. Ranking does not evaluate the quality of services and is not indicative of an Advisor's future performance.

#1 Family Team in America as ranked by The Winners Circle and *Research* magazine in 2008. Each Advisor on this year's *Research* magazine list was filtered down from a national list from securities firms, bank, independent firms and more. The Winner's Circle team vetted each Advisor through a host of quantitative and qualitative criteria including assets managed, revenues, experience levels, acceptable compliance records, discussions with management and more. Because client portfolios vary and are typically unedited, portfolio performance is not a criterion; instead, the Winner's Circle focuses on customer satisfaction and client retention.

Barron's Top 1200 Advisors (2013.) Rankings based on assets under management, revenue generated for Advisor firms, quality of practices, and other factors.

Barron's Top 1000 Advisors (2012.) The rankings are based on data provided by 4,000 of the nation's most productive Advisors. Factors included in the rankings were assets under management, revenue produced for the firm, regulatory record, quality of practice and philanthropic work. Investment performance is not an explicit component.

Barron's Top 1000 Advisors (2009–2011.) The number of Advisors shown for each state is based on the total population of the state, so larger states have larger listings. Generally, the rankings reflect assets under management, revenues, quality of the Advisors' practices and other factors. Total assets are all assets overseen by the Advisor's team, including some that are held at other institutions. Assets managed for institutions are given less weight in the scoring. Portfolio performance is not a criterion because most Advisors do not have audited track records. Criteria based on more than 3000 filtered nominations from more than 100 investment, insurance, banking and other related independent financial service firms.

Barron's Top 100 Financial Advisors (2004–2009) criteria generally based on more than 7,000 filtered nominations from more than 80 investment, insurance, banking and other related firms, which were narrowed down by quantitative and qualitative criteria as well as by examining regulatory records and talking with peers, supervisors, clients and the Advisors themselves. Portfolio performance is not a criterion because most Advisors do not have audited track records.

Financial Times Top 400 Advisors Rankings are based on data provided by investment firms. Factors include assets under management, experience, industry certification, and compliance record. Investment performance and financial Advisor production are not explicit components.

Five Star Wealth Manager Award (2012.) Survey conducted by Five Star Professional, an independent third-party research firm, who received nominations among all Wealth Managers in the area from peers or firms and evaluated the nominees based on 10 objective criteria including client retention rates, client assets administered, firm review and favorable regulatory and complaint history.



...ness, integrity, and strong experience, recommendations, and overall satisfaction. Selected are the top scoring candidates representing less than 7% of their market. The rating is not representative of any one client's experience as the rating reflects an average, or a sample, of all client experiences, and is not guarantee as to a client's future investment success or an Advisors selection or performance in the future.

Indianapolis Business Journal Forty Under 40 criteria based on 40 local business and professional leaders who have achieved success before the age of 40. These people have demonstrated leadership, initiative, and dedication in pursuing their careers, and are likely to continue to achieve in the future.

On Wall Street Top Advisors Under 40 Criteria based on age requirements of 39 years of age and under. Executives at wire houses and full-service regional firms were asked to identify their top three brokers based on assets under management for the first nine months of this year. With a few exceptions, these are the largest asset gatherers under 40 at their firms. In the case of a team member, the assets we report for the person is in the same proportion as the individual's production within the team. Candidates also had to offer comprehensive financial planning and wealth management services, generate at least 50% of their revenues from fee-based accounts, and have no compliance problems in the past five years.

Prudential Securities' Financial Advisor of the Year based on quantitative and qualitative criteria including professional credentials, wealth management focus, tenure in the industry, productivity, assets under management, compliance records, and client satisfaction reports.

Registered Rep Outstanding Advisor Award criteria based on: 1) Superior performance in money management, client service, business building and philanthropic activities; and 2) Acknowledged peer recognition and respect.

Registered Rep America's Top 50 Financial Advisors. Rankings based on a combination of objective and subjective factors, including production, assets under management and tenure at current firm. *Indy's Best and Brightest* criteria based on age requirements, residential requirements, professional accomplishments, and leadership qualities in workplace or community. Selection committee chooses 100 total nominees in 10 categories as finalists; committee then selects 10 winners.

Research magazine/*The Winner's Circle* criteria generally based on more than 7,000 filtered nominations from more than 80 investment, insurance, banking and other related firms, which were narrowed down by quantitative and qualitative criteria as well as by examining regulatory records and talking with peers, supervisors, clients and the Advisors themselves. Portfolio performance is not a criterion because most Advisors do not have audited track records.

Wachovia Securities' Wachovia Way Award was established to recognize Premier Advisors of distinction within the firm whose attitude, commitment, and values best represent the firm's unique culture. The award celebrates the accomplishments of premier Advisors who have achieved extraordinary success in both their professional and personal lives.



Giving Back

At Cooke Financial Group, we strive to be more than just industry leaders, but also leaders in the communities we serve.

We actively support our local communities through the following organizations:

- St. Vincent Hospital Foundation
- Children's Museum of Indianapolis
- Young Life
- Penrod Society
- Conner Prairie Museum
- Garden Club of America
- Angel's Wings
- A.C.'s Charity Golf Classic
- Damar Services
- Hero Project/Capes for Kids
- Homes of Hope/Youth With A Mission
- Central Indiana Community Foundation
- Habitat for Humanity
- Gleaners Food Bank
- Make-A-Wish Foundation
- EntouRaj
- Teacher's Treasures



FINANCIAL PLANNING: SETTING OBJECTIVES

Our approach to serving our clients is a comprehensive and proven one, grounded in customized financial planning. For both private and institutional clients, we customize a financial strategy that will help achieve both short- and long-term objectives. Our multi-disciplinary wealth management team regularly monitors client portfolios and investment plans to ensure they evolve with the client's needs, staying in regular contact with clients throughout the year.



Click to see larger view

ASSET ALLOCATION

We believe in both active and passive investing, and rely on the expertise of more than 200 professional money management firms to construct fully diversified portfolios. To minimize client fees, we use passive investments and indexing; for further diversification, we employ alternatives such as real estate and other non-correlated asset classes, as warranted.

INDEPENDENT MANAGER SELECTION

Our due diligence team identifies, screens, and selects only those managers who meet our rigorous standards. In 2015, for example, our team conducted more than 200 meetings and conference calls with money-management firms. To avoid any potential or perceived conflict of interest, we do not charge direct or indirect fees to the investment managers selected. Nor are we compensated in any way for including



PERFORMANCE EVALUATION AND REVIEW

Our portfolio monitoring process includes both qualitative and quantitative components to monitor money management firms as well as risk/return comparison analyses to assess each portfolio's risk-adjusted rate of return. We apply both broad and style-specific benchmarks to identify performance trends and evaluate ongoing progress in fulfilling client objectives.

PRIVATE WEALTH MANAGEMENT

For our private clients and families, portfolio design and management spring from our in-depth understanding of each client's overall financial position, including personal accounts, real estate, IRAs, 401(k)s, and liabilities — as well as the effect of taxation and the need for retirement and estate planning. Our services include:

- Investment Advisory and Consulting Services
- Detailed Asset Allocation Analysis
- Cash Flow and Retirement Planning
- Comprehensive Insurance Review
- Tax Sensitive Investment Strategies
- Estate Planning Strategies
- Lending Services
- Legacy Planning and Wealth Transfer Strategies
- Philanthropic and Charitable Consulting

INSTITUTIONAL CONSULTING

Our Institutional Consulting team works with endowments, foundations, and those managing corporate defined contribution and defined benefit retirement plans, and Taft-Hartley plans to construct a framework that reflects the unique needs and circumstances of each institution.

For each client, we develop an Investment Policy Statement, the single most important element to investment success, which outlines long-term risk and return targets,

needs.

Institutional strategies include:

- Investment Policy Development and Review
- Risk Posture Assessment
- Detailed Asset Allocation Analysis
- Liability Modeling
- Portfolio Risk Management
- Income Optimization
- Investment Manager Search and Selection
- Performance and Attribution Reporting Capabilities
- Social Restriction Screening



Advisory Services

WE PROVIDE SMART OPTIONS FOR UNIQUE SITUATIONS

Our Advisory Services are designed to address each client's different types of investor styles, needs, and preferences. With the Cooke Financial Group you will have an opportunity to access the best money manager talent available anywhere in the marketplace to meet your unique needs.

Using Advisory Services, you will work with one or more of our dedicated team of Wealth Advisors who will develop a personal, customized portfolio to meet your specific investment needs. You will receive detailed, quarterly performance reporting to

“We have many different types of investments in today’s world. Our approach, using our advisory service options and a thorough understanding of client needs, allows our clients to focus on the big picture and not on daily decisions.”

— BRIAN F. COOKE

We offer four main kinds of Advisory Services accounts. Your Cooke Financial Group Wealth Advisors will customize a solution for you that will incorporate a variety of factors that will be sensitive to your risk tolerance, time horizon and tax situation.

Client-Directed: You partner with your Wealth Advisor to make decisions about investments and use fee-based pricing as an alternative to commission-based pricing. This advisory relationship includes the benefit of one-on-one consultations to establish an investment plan, professional investment advice based on objective research and customized objectives, and ongoing portfolio monitoring and service.

Mutual Funds/ETF (Exchange Traded Funds) Advisory: We construct an investment portfolio for you using the world’s top mutual funds or exchange traded funds; the mutual funds used in this platform are no-load or load-waived. We will help create a diversified investment program, with a customized allocation, while receiving access to a large universe of mutual funds/exchange traded funds; including many available only to institutional investors.

Advisor-Managed Accounts: Use a customized portfolio management program geared toward your specific investment goals. Your Wealth Advisor, who has met stringent criteria based on experience and expertise, acts as your professional portfolio manager.

Outside Professional Managed Accounts: Professional managers develop disciplines for buying and selling securities which eliminate decision-making based on other influences, such as emotions. By electing to have experienced institutional



Count on the Cooke Financial Group for objective, customized advice to optimize the performance of your investment portfolio while managing your risk.

Investments

INVESTMENT CHOICES TAILORED FOR YOU

The more choices you have, the greater the potential opportunities. That's a rule of thumb in life and in wealth planning.

We offer unlimited access to traditional stock and bond investments, as well as a cash management program, designed to help your money work hard for you, and traditional certificates of deposit. We have access to independent research from our national and international research network.

EQUITY INVESTMENTS

Equity Investments represent a key investment opportunity for individuals, and even the most conservative portfolio may benefit from stock and mutual fund investing.

Stocks: A stock is a type of security that represents individual ownership of a corporation and a claim on part of the corporation's assets and earnings. In other words, as an investor you are part owner of a firm. Working with the Cooke Financial Group gives you access to domestic and international equity markets and all the major stock exchanges.



the S&P 500 Index. ETFs may be attractive as an investment because of low cost, tax efficiency and diversification.

Mutual Funds: A mutual fund is an investment vehicle made up of a pool of funds collected from many investors for the purpose of investing in various securities such as stocks and bonds. Mutual funds are operated by professional managers, who invest the fund's capital and attempt to produce capital gains and income for the fund's investors. Mutual funds have been a mainstay of the individual investors' market for many years. They allow individuals to gain access to professional managers and may provide wide diversification through a single investment.

FIXED-INCOME INVESTMENTS

Fixed-income investments give your portfolio stability and balance. Fixed-income investments may be long or short term, and include bonds, notes, and bills. They may provide a steady and dependable stream of income, and some include tax advantages. Fixed-income resources are available through our in-house traders and access to fixed-income products.

U.S. Government, Agency and Treasury Bonds and Notes, considered to be the safest investment in the marketplace, offer safety, liquidity, and income, and are exempt from state income taxes.

Municipal Bonds, issued by local governments and other local agencies, may offer income that is exempt from federal and state income taxes.

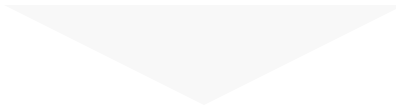
Corporate Bonds, issued by corporations, may offer higher income than U.S. Government bonds, depending on the bond's rating and other factors.

Certificates of Deposit are still a core investment for conservative investors. We offer you a broad array of CDs from banks nationwide to optimize your return.

CASH MANAGEMENT

Our **Advantage Account** keeps your cash working hard for you, with excess cash going into a money market fund or an FDIC-insured bank deposit fund. Advantage

As you work with your Cooke Financial Group Advisor to determine the right investment choice for you, you will benefit from customized, highly personalized service from experienced investment professionals who put you first.



Alternative Investments

ALTERNATIVE INVESTMENTS OFFER MAXIMUM DIVERSIFICATION

Diversifying your investments is one of our key strategies for managing risk. Basically it means not putting all your eggs in one basket.

At one time, access to alternative investments was possible only for institutional investors or ultra-high-net-worth individuals because of higher perceived risks and larger required minimums. In recent years, these investment strategies have become more accessible to individuals, and we believe that investors could benefit from using these solutions.

ALTERNATIVE INVESTMENTS MAY BE RIGHT FOR YOU

Diversifying your investments is one of our key strategies for managing risk. Basically it means not putting all your eggs in one basket. The most important part of diversification is choosing assets that have low correlations to each other in the marketplace, meaning that they respond differently to different market situations.



traditional asset classes such as stocks or bonds.

Our knowledgeable team of Cooke Financial Group Wealth Advisors will work closely with you to make recommendations about which might be most appropriate for you. This includes analyzing the specific market factors that affect your portfolio and keeping you informed of events that may impact your risk profile.

Annuities and Insurance

INSURANCE AND ANNUITIES HELP YOU MANAGE RISK

Our knowledgeable Wealth Advisors have a deep understanding of the ways that insurance can work in an overall wealth management plan to help you guard against the unexpected as well as safeguard your future.

Preparing a comprehensive wealth management plan requires that you and your Cooke Financial Group Wealth Advisor to evaluate many kinds of risk, including the risk of an untimely death or disability, or the risk of outliving your money in retirement. Your dedicated Cooke Financial Group Wealth Advisor can explain and guide you on how various types of insurance solutions can help mitigate risk and provide additional solutions to save for the future.

Our knowledgeable team of Wealth Advisors has a deep understanding of the ways that insurance can enhance an overall wealth management plan to help you guard against the unexpected as well as safeguard your future. In analyzing your needs, you want to work with an expert who will advise you on the amount of insurance you need and walk you through the entire process. Our Wealth Advisors have access to some of the best insurance companies in the industry.



- Protect assets and provide for care in the event of long-term injury, sickness or disability
- Provide for various kinds of business needs, such as business continuation insurance, key person insurance and funding for a buy/sell agreement
- Use insurance as a key part of estate, legacy and wealth transfer planning
- Create income for life for your retirement years using lifetime income guaranteed solutions

Your Wealth Advisor can show you innovative insurance solutions that combine long-term care insurance with life insurance, or that use whole or universal life to benefit your heirs to create a legacy.

CONSIDER ANNUITIES FOR TAX-DEFERRED SAVINGS AND LIFETIME INCOME

Annuities offer a number of benefits to investors who are saving for retirement, including investment flexibility, tax-deferred retirement savings, and guaranteed income for life. Many retirees choose to augment the investments in their retirement portfolios with the guaranteed income offered by annuities. Your experienced Wealth Advisor can help you determine which types of annuities might be right for you.

TYPES OF ANNUITIES

There are three main types of annuities:

- **Variable annuities** provide tax-deferred investments or lifetime income based on the performance of the underlying investments and are designed to help offset market fluctuations.
- **Immediate annuities** provide an immediate income stream of income for a specific period of time or for life.
- **Fixed annuities** provide a guaranteed interest rate over a certain period of time, usually with a minimum guaranteed renewal rate.

COMPLIMENTARY REVIEW

Group Advisor will be happy to review them for you, to ensure that they are currently aligned with your overall risk and investment objectives.



Lending

MAINTAIN YOUR COURSE TO REACH YOUR FINANCIAL GOALS

Your personal financial picture includes both sides of your balance sheet, liabilities, as well as assets. Achieving your long-term objectives depends on wise management of both sides.

How and when you borrow money, and how you manage your need for liquidity, are as important to your overall plan as your investment asset allocation.

Our Wealth Advisors are equipped to help you see the big picture and recommend smart financing solutions for you. We work with lending experts to ensure you have access to a range of innovative lending options to help you manage your liabilities. We use our extensive resources to custom-tailor financing solutions that meet your unique needs.

Using Liabilities Strategically: Understanding your financing options can make a big difference to your overall wealth management strategy. You can access funding when you need it, in effect by borrowing from yourself. While most investors understand the basic facts about home mortgages there is a wider variety of borrowing options for investors today. If a need should arise, you do not have to interrupt your overall saving and investment plan or sell assets at a time that might be disadvantageous.

Access the Value of Your Investments: Like your home, your investments are assets that can provide liquidity when you need it. Borrowing against the value of your eligible



disrupting your long-term investment strategy. Your Wealth Advisor will work with you to determine which kind of loan works best for your time horizon and needs.

Purchase or Refinance a Home: While home mortgages are familiar to many individuals, even long-time homeowners may not be aware of all the financing options now available. Whether for a new home or to refinance your current home, you can choose the time horizon and repayment schedule. We have access to a variety of flexible solutions from a wide array of mortgage lenders, so you and your Wealth Advisor can custom-fit the one that works best for you.

Access Available Equity in Your Home: Home equity financing can be a prudent choice for making home improvements, paying for education expenses, or financing major purchases or life events. A home equity loan may be a loan for a specific amount and timeframe or a line of credit you can draw on as you need it and repay on your own schedule. Your Wealth Advisor can analyze your needs and find the solution that fits best in your overall wealth management plan.

Investment Banking

INVESTMENT BANKING SERVICES

We offer capital markets expertise in a wide variety of financial instruments, whether fixed income or equity, taxable or tax-exempt debt. We also provide access to alternative investments, structured products, trading, and sales. Our trading services provide access to a wide variety of securities and resources that we can incorporate into your portfolio effectively and efficiently. Unlike the wirehouses, we have full access to Wall Street's inventory, but at more affordable rates.

Tax and Family Office Services

SANCTUARY TAX AND FAMILY OFFICE SERVICES

Our team of experienced professionals can help you address and solve specialty accounting process and tax matters. We can guide you through a full range of tax planning and preparation decisions. Our expertise, experience, analysis, and research allow us to optimize opportunities and implement strategies that can yield the best results for you. Our services include tax return preparation, integrated tax and income plan design and implementation, Federal and state tax compliance, and tax consulting.

Family Office services range from estate planning to financial and information management and outsourced services. We can assist you with financial and accounting processes such as monthly entity accounting and reporting, personal bill payments, domestic help payroll, cash flow management and forecasting, balance sheet analysis, annual consolidated net worth statement preparation, bank financing analysis and negotiation, coordination of advisors and fee analysis, and CFO outsourcing. We also provide a full range of estate planning services including development of objectives, review of legal and tax strategies, financial modeling, action plan development and implementation, and trust administration support.



The Cooke Financial Group now has access to the Noyes Capital Markets Group which is comprised of Corporate Finance and Fixed Income Divisions. Having access to the Capital Markets Group enhances our overall products and services, so we can better assist our clients.

“Our approach to investing is geared around families; yours and ours. Keeping our clients’ interests our top priority has enabled us to serve our community for five decades.”

— CHRIS COOKE

CORPORATE FINANCE DIVISION

The Corporate Finance Division provides merger & acquisition expertise, along with growth capital advisory services to middle market companies. They also provide debt/equity fund management services for specialized investment funds.

**[Learn more about the Corporate
Finance Division](#)**

FIXED INCOME DIVISION

The Fixed Income Division offers capital markets expertise to governments, nonprofits, and investors in tax-exempt and taxable debt. The division provides underwriting and private placement, trading and sales and investment banking services.

**[Learn more about the Fixed Income
Division](#)**

Strategic Partners



SANCTUARY WEALTH PARTNERS

Partner-owned and partner-led, Sanctuary Wealth Partners redefines traditional business models by bringing together an elite group of wealth Advisors, selected for their experience, impressive compliance and performance records. These talented, highly experienced Advisors operate as fiduciaries, maintaining their clients' best interests as their primary focus. Through the Sanctuary network, we can better serve our clients with full transparency and with access to best-in-class service providers, advanced operational and platform support, compliance, legal, human resources and accounting services.

Partnered IndependenceSM ensures us comprehensive support in all aspects of serving clients through affiliation with Noyes Group, LLC, a full-service investment firm headquartered in the Midwest, with offices throughout the country. Through its subsidiaries, Sanctuary Securities and Sanctuary Advisors, this partner-owned firm offers a comprehensive menu of products and services to individual and institutional clients.

Sanctuary Wealth Partners' open-architecture approach offers a holistic menu of financial solutions — including wealth management planning, capital markets, investment banking, and family office services — that enable us to focus their best thinking on clients, not on where a product will be sourced or how it will be managed.



FIDELITY INVESTMENTS

We offer custodian services through Fidelity Investments, a family-managed, privately held company with more than 70 years of financial services experience. Fidelity is a leading provider of trading, custody, and brokerage services to registered investment advisory firms, trust institutions, and third-party administrators. It is able to leverage the capital, resources, and expertise of the Fidelity organization, one of the world's largest financial services companies, on our behalf.

FirstClearing

An affiliate of Wells Fargo & Company

FIRST CLEARING

We continue our relationship with First Clearing Corporation, an affiliate of Wells Fargo. First Clearing, that provides custody and clearing services along with access to: a full range of investment, advisory, and banking products; industry-leading research; alternative investments; fixed income, lending, retirement and trust services, risk-management and compliance support. Headquartered in St. Louis, Missouri, First Clearing is a member of the New York Stock Exchange, NASDAQ, and other major exchanges.



SCHWAB ADVISOR SERVICES

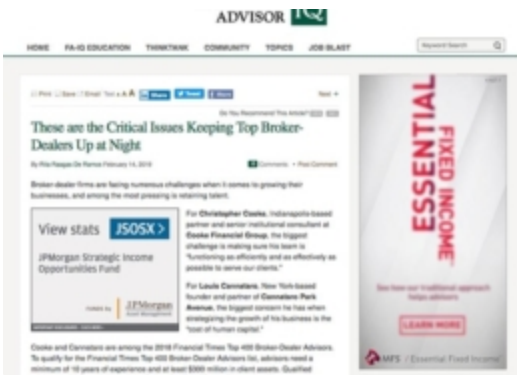
With 1,800 dedicated professionals, Schwab Advisor Services provides custodial, operational, and trading support to more than 7,500 independent registered investment Advisors like us. With \$1.5 trillion in assets under management (as of June 30, 2018), Schwab affords our clients the safety of its size and financial strength. By



TD AMERITRADE INSTITUTIONAL

TD Ameritrade Institutional* is a leading provider of comprehensive brokerage and custody services to more than 4,000 fee-based independent Registered Investment Advisors (RIAs) and their clients. The firm delivers smart operational solutions, innovative technology, customized practice management, and flexible investment solutions, all with one goal in mind — impeccable service. As steadfast advocates for independent advisors, TD Ameritrade Institutional continually speaks out to ensure that RIA needs and their clients' needs are always considered within the regulatory environment. The firm's collaborative approach and innovative technology solutions ensure that we spend less time navigating a one-size-fits-all solution and more time focused on exceeding your expectations.

* TD Ameritrade Institutional, Division of TD Ameritrade, Inc., member FINRA/SIPC.



THESE ARE THE CRITICAL ISSUES KEEPING TOP BROKER-DEALERS UP AT NIGHT

February 14, 2019

Posted by Rita Raagas De Ramos February 14, 2019 at FinancialAdvisorIQ.com Broker-dealer firms are facing numerous challenges when it comes to growing their businesses,...

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WHY WE LEFT WELLS FARGO TO JOIN ANOTHER NETWORK: INTERVIEW WITH FINANCIAL ADVISOR IQ

May 23, 2018

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May 22, 2018

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COOKE FINANCIAL GROUP STAYING IN THE BROKER PROTOCOL. CHRIS AND BRIAN COOKE DISCUSS WHY IN AN INTERVIEW WITH FINANCIAL ADVISOR IQ

April 4, 2018

Posted by Rita Raagas De Ramos on April 4, 2018 at FinancialAdvisorIQ.com. Hint: It's all to do with how the client sees the relationship. The Broker Protocol has...

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broker-dealer advisors' reactions range from business as usual...

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Noyes Advisors Listed as Best-in-State Wealth Advisors by Forbes

Forbes Names Chris Cooke and Brian Cooke to 2018 Best-in-State Wealth Advisors

March 21, 2018 04:03 AM Eastern Standard Time

INDIANAPOLIS — (BUSINESS WIRE) — Noyes, a 110-year-old wealth management and investment banking firm, announced it two of its financial advisors have been named on Forbes 2018 Best-in-State Wealth Advisors. The esteemed recognition was given to J. Christopher Cooke, CMAA and Brian F. Cooke, CMAA, two Partners of the Cooke Financial Group at Noyes ("C"). The Cooke brothers have received prestigious recognitions from leading financial publications as Barron's, Financial Times, Bloomberg, and Registered Representatives Magazine.

"These two gentlemen represent the best of the financial planning industry."

"As a financial adviser firm that provides top-quality, comprehensive financial planning services and solutions to valued clients, we are incredibly pleased to receive this recognition from Forbes," said LH Hal, Chairman of the Board at Noyes. "These two gentlemen represent the best of the financial planning industry."

BUSINESSWIRE: NOYES ADVISORS LISTED AS BEST-IN-STATE WEALTH ADVISORS BY FORBES

March 1, 2018

Forbes Names Chris Cooke and Brian Cooke to 2018 Best-in-State Wealth Advisors INDIANAPOLIS — Noyes, a 110-year-old wealth management and investment banking firm, announced...

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\$1.7B Wells Fargo Team Jumps to Midwest Firm Noyes

November 23, 2016

A Chicago wealth management and investment banking firm has snatched a \$1.7 billion financial advisor team from Wells Fargo Advisors, the Indianapolis Business Journal reports.

Led by brothers Chris and Brian Cooke, the 11-person Cooke Financial Group will become the largest branch of 108-year old firm David A. Noyes & Co., according to the publication. The Fortune see within the firm as customers will flow into Noyes in numerous next months.

\$1.7B WELLS FARGO TEAM JUMPS TO MIDWEST FIRM NOYES

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November 18, 2016

Partnership Validates Noyes' Ability To Empower Advisor Success CHICAGO, IL, November 18, 2016—Noyes, a 108-year-old employee-owned wealth management and investment...

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CHRIS AND BRIAN COOKE RECEIVE NATIONAL RECOGNITION FROM THE FINANCIAL TIMES AND BARRON'S MAGAZINE

March 30, 2016

Indianapolis, IN (March 30, 2016) – Chris Cooke, Managing Director – Investments, and Brian Cooke, Managing Director - Investments of the Cooke Financial Group of Wells...

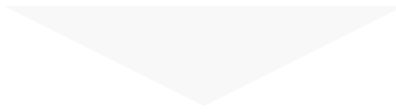
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CHRIS COOKE AND BRIAN COOKE RECEIVE PRESTIGIOUS NATIONAL HONORS

March 19, 2014

Indianapolis, Indiana. March 19, 2014 — Chris Cooke, Managing Director-Investments and Brian Cooke, Managing Director-Investments of Wells Fargo Advisors, LLC, were ranked...



Events



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Press Releases

FT 400 Ranking April 2019

April 23, 2019

Elite Listing Highlights the Best-in-Class Financial Advisers from Across the Country INDIANAPOLIS, IN, April 23, 2019 — Sanctuary Wealth (“Sanctuary”) congratulates...

[READ MORE >> \[HTTPS://COOKEFG.COM/\]-CHRISTOPHER-COOKE-AND-BRIAN-COOKE-NAMED-TO-FINANCIAL-TIMES-400-TOP-FINANCIAL-ADVISERS-LIST/\]](https://cookefg.com/)



CHRIS AND BRIAN COOKE OF THE COOKE FINANCIAL GROUP AT NOYES NAMED TO FORBES' 2019 BEST-IN-STATE WEALTH ADVISORS

March 1, 2019

INDIANAPOLIS, IN, March 01, 2019 — Chris and Brian Cooke were named to the Forbes' 2019 List of Best-in-State Wealth Advisors, a ranking of the best national, regional,...

[READ MORE >> \[HTTPS://COOKEFG.COM/CHRIS-AND-BRIAN-COOKE-OF-THE-COOKE-FINANCIAL-GROUP-AT-NOYES-NAMED-TO-FORBES-2019-BEST-IN-STATE-WEALTH-ADVISORS/\]](https://cookefg.com/chris-and-brian-cooke-of-the-cooke-financial-group-at-noyes-named-to-forbes-2019-best-in-state-wealth-advisors/)



SANCTUARY WEALTH PARTNERS' CHRIS AND BRIAN COOKE OF COOKE FINANCIAL GROUP NAMED TO FORBES LIST OF TOP WEALTH ADVISORS

October 29, 2018

INDIANAPOLIS, IN, October 29, 2018 – Sanctuary Wealth Partners is pleased to announce that Chris and Brian Cooke of Cooke Financial Group have both been named to the...

[TOP-WEALTH-ADVISORS/\]](#)



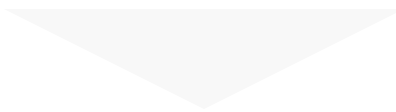
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Publications

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WELLS FARGO LOSES \$1.7B TEAM TO NOYES

November 22, 2016

On Wall Street A Wells Fargo team that oversees more than \$1.7 billion left to join Noyes, an independent

Published: November 21, 2016, 12:47pm EST

Filed in: Marketing

Senior roles: Wealth advisors

Independent 5th: Noyes

Wells Fargo: Wells Fargo Advisors

Editorial:

A Wells Fargo team that oversees more than \$1.7 billion left to join Noyes, an independent broker-dealer, according to a spokesman.

The Cooke Financial Group, led by brothers Chris and Brian Cooke, joined the firm as partners and opened a new branch for Noyes in Indianapolis. CEO Mark Damer said in a statement that it's now Noyes' largest branch office. Damer added that the new hires demonstrate how Noyes is an attractive place for wealth advisors to do business.

Chris Cooke said they were drawn to make the move in part because of Noyes' culture.

FARGO-LOSES-1-7B-TEAM-TO-NOYES/]

Thought Leadership



y We Left Wells Fargo to Join Another Network

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Cooke Financial Group

8888 Keystone Crossing, Suite 105
Indianapolis, IN 46240

Phone: 317.814.7800

Fax: 844.758.5725

cookefinancialgroup@cookefg.com



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