



COOK PINE CAPITAL

YOUR WEALTH MANAGEMENT PARTNER



Company Profile

Cook Pine Capital ("CPC") is an investment management firm that specializes in advising ultra-high net worth individuals, families and select institutions from around the world. Through extensive due diligence and broad global relationships, we provide investors access to premier alternative investment products and expertise.

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Mission and Overview

Cook Pine Capital's mission is to be the pre-eminent advisor of alternative investment portfolios for a select group of global ultra-high net worth individual and institutional investors. Our goal is to achieve superior, long-term, risk-adjusted returns for our clients utilizing investment strategies across global financial markets.

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Research

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from New Caledonia, Captain Cook wished to have a ready supply of trees available for use as masts on his sailing ships. These conifers, which grow to heights of up to 160 feet, are known for their predictable, straight growth, as well as for their sturdiness and ability to withstand harsh environmental conditions.

We have chosen the Cook Pine as a symbol of what we represent to the alternative investment marketplace. We strive for consistent, solid growth coupled with risk mitigation. Our customized hedge fund portfolios are constructed to not only benefit from favorable market conditions, but also to withstand adverse economic forces that result from the violent winds of market change. Additionally, we realize that to meet the needs of tomorrow, one must plant the seeds of growth today.

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Cook Pine Capital's open architecture investment philosophy promotes an unbiased and thoroughly researched selection of "best of breed" portfolio managers. Contrary to a fund of funds, Cook Pine Capital takes great care to customize each investor's portfolio based on their return objectives, risk profile and existing asset exposures. We believe that this customization, coupled with a high level of personal service, sets us apart from traditional service providers and allows us to be more nimble and objective in our investment decisions.

Cook Pine Capital strongly believes that sophisticated investors need an independent and conflict free firm that will focus on customized investment programs that emphasize proper asset allocation, risk management, and wealth preservation. Also, as compliance is of paramount importance to Cook Pine Capital, our firm is fully registered with the US and Japanese regulatory authorities.

Research



Study of Fat-tail Risk.pdf



Trusts and Hedge Funds.pdf



An Endowment Approach for Wealthy Families.pdf

FAQ

Q. What is CPC's specialty?

A. Our business is very straight forward; we create customized hedge fund portfolios for individuals, endowments and foundations that have at least \$10 million to place into the hedge fund asset class.

Q. What client base do you serve?

A. Generally, we work with high net worth individuals, but we will also work with foundations and endowments when there is a good fit.

Q. How are you different from a Hedge Fund of Funds?

A. We are different from Fund of Funds in a number of ways, but perhaps most importantly, our hedge fund portfolios are custom-built for the needs and

Q. Do you work with investors outside the US?

A. Yes, we have a global client base.

Q. What is your minimum investment?

A. Given that most hedge funds have a minimum investment of \$1million, to create a properly diversified portfolio, one should have at least ten funds included in the portfolio. So, at \$10 million we can do a good job. At \$15 million, we can do a better job. Our average account size is over \$33 million.

Q. What if I already own hedge fund positions?

A. Virtually all of our clients had pre-existing hedge fund positions prior to becoming Cook Pine clients. If requested by the client, we can tailor our portfolios around those existing positions, ensuring proper diversification and



A. We review hundreds of funds each year, searching out the best of breed in most of the hedge fund strategies. There are many strategies, such as quantitative funds, where we simply won't invest in, so that will eliminate many. For those where we have an interest, we do a thorough review of their business, looking not only at performance, but also risk levels, use of leverage, liquidity, operating procedures, and importantly, we get to know the principals personally. For a fund to be part of our core manager platform, we will need to have significant conviction in them as good people, good managers, and good investors.

Q. Do you have any financial or sales arrangements with fund managers that are part of your platform?

A. No. We are 100% objective with no conflicts whatsoever. We receive no financial or other special consideration from any of the parties with whom we deal. Fees from our clients are our only source of income.

MISSION & OVERVIEW

Mission Statement

Cook Pine Capital's mission is to be the pre-eminent advisor of alternative investment portfolios for a select group of global ultra-high net worth individual and institutional investors. Our goal is to achieve superior, long-term, risk-adjusted returns for our clients utilizing investment strategies across global financial markets.

CPC's Key Success Factors

Investment Method and Philosophy:

Cook Pine Capital thoughtfully constructs customized portfolios based upon a client's return objectives, risk concerns and existing asset exposures. These portfolios encompass multiple alternative strategies, some of which may have a larger or smaller percentage allocation dependent upon CPC's view of both the client's needs and current market dynamics. Whereas a fund of funds offers only a simple, stagnant and pooled vehicle in which all types of investors can invest as a group, our customized portfolios are carefully designed, constructed, monitored and adjusted for each of our clients with their individual needs in mind. The selection process for potential investment managers utilized by Cook Pine Capital is extremely stringent and diligent. We demand impeccable personal integrity and top notch investing credentials. We seek the "best of breed" in specialty or sector and require a track record of consistent and stable performance. We prefer bottoms-up, fundamental style investing with minimal leverage and we avoid short term, highly active, over-exposed trading strategies.

Trust:

Independent and Objective Advice:

Given CPC's structural independence from any broader financial institution, we are able to provide our clients with advice that is unbiased and objective. We are free to pursue a truly "open" architecture investment platform where our clients can be assured that investment managers are chosen solely for their investment acumen and risk control. Our fees are transparent, and we have only one constituent, our investors, who pay for our services.

Experience:

Strong experience in the financial industry is critical because current knowledge and future judgments are based on this experience. Cook Pine Capital's key personnel have senior production and management experience at premier global financial institutions. As such, we bring relevant experience to bear on client problems and are confident in making recommendations that are consistent with our client's needs.

Long-term relationships and Network:



complex world of alternative investments. Importantly, this deep relationship network has allowed CPC to gain access on behalf of its clients to “best of breed” managers who are otherwise “closed” to new investors.

Performance:

Our success is contingent upon achieving the proper balance between risk and reward for each client who entrusts their assets with us. Superior risk-adjusted performance is the goal for CPC. Moreover, given our lower overhead, our lower overall fees has enhanced client performance.

Client Centric:

We aim to provide the highest quality services to a limited number of distinct clients and have a record of strong client retention. An integral part of our service is open communication and transparency in serving our clients.

Strict Compliance:

Cook Pine Capital is a registered advisor with the Japanese regulatory authorities and is registered as an investment advisor with the U.S. Securities and Exchange Commission. As such we operate under strict regulatory supervision.

Key Personnel



Eiichiro Kuwana is President and a Founding Principal of Cook Pine Capital. Mr. Kuwana oversees the asset allocation and manager selection processes and has responsibility for investor relations at Cook Pine Capital. Mr. Kuwana brings to Cook Pine Capital nearly 30 years of experience in the financial industry. Prior to starting Cook Pine Capital, Mr. Kuwana spent 12 years at Goldman, Sachs & Co., where he was a Managing Director. Throughout his career at Goldman Sachs, Mr. Kuwana worked closely with wealthy families around the globe, assisted them in investing their personal assets in both the public and private markets, and helped ensure prudent asset allocation, risk management, and wealth preservation. Moreover, Mr. Kuwana held various senior level management positions within the Investment Management and Equities divisions at Goldman Sachs in both New York and Asia. In addition, Mr. Kuwana worked at Merrill Lynch in its Money Markets Origination group based out of New York. Mr. Kuwana received an AB, magna cum laude, and an MBA from Harvard University. Mr. Kuwana serves on the board of The Nature Conservancy, Hawai’i and is a former trustee of Phillips Exeter Academy.



in the institutional research area for Japanese equities. Her major clients included top tier hedge funds and global money management firms. Ms. Kuwana received a BS from the Wharton School at University of Pennsylvania and an MBA from Harvard University. Ms. Kuwana is board member of the YWCA Greenwich. Ms. Kuwana is founder of Global Citizens Initiative, a youth empowerment social enterprise.



Patrick Neligan is a Principal of Cook Pine Capital. Mr. Neligan has responsibility for the overall operations of Cook Pine Capital and serves as the firm’s Chief Compliance Officer (CCO). Mr. Neligan is responsible for the operational due diligence of new and existing managers and is also involved in business development, strategic planning, and client/investment manager relationships. Previous to joining Cook Pine Capital, Mr. Neligan spent 7 years at Goldman, Sachs & Co., where he was a Vice President. During his tenure at Goldman Sachs, Mr. Neligan helped manage and oversee the Equities Division and was a key member in formulating and implementing strategic initiatives across the globe. Mr. Neligan was also a point person for the division’s client relationship management team which served many of the firm’s top hedge fund clients. Mr. Neligan also previously served as unit manager in Hong Kong for the division’s Asian Capital Market team. Mr. Neligan received a BA from The University of Connecticut.

Michael Stephenson serves as Co-Chief Investment Officer and is a Principal of Cook Pine Capital. Previously, Mr. Stephenson was a Managing Director at Augusta Columbia Capital, a private equity firm that specialized in buyouts of technology companies. Prior to Augusta Columbia Capital, Mr. Stephenson worked at Citigroup Japan, where he was a Managing Director and held various senior executive positions. Prior to his role at Citigroup, Mr. Stephenson was Managing Director, Asia-Pacific at Court Square Capital Partners (formerly Citigroup Venture Capital) where he specialized in technology investments and oversaw the firm’s investment in i-flex solutions limited, which was sold to Oracle. Prior to Court Square Capital Partners, Mr. Stephenson was the founding CFO and Executive Vice President of Administration at GiftCertificates.com. Before that, Mr. Stephenson spent seven years as an investment banker at Merrill Lynch in Tokyo, London and New York where he worked on many high profile advisory assignments. Mr. Stephenson has an MBA from Harvard Business School and an AB from Harvard College.



Loyal Egan is a Vice President of Cook Pine Capital. Previously, Mr. Egan was a Customer Support Manager at Modo Labs, a mobile technology startup in Boston, where he led the implementation of a new customer portal and knowledge management system. Prior to Modo Labs, Mr. Egan was a Team Lead at Motus, a Boston-based mobile workforce management firm, where he worked in client services and corporate development modeling business costs including insurance, gas, depreciation, and property and sales taxes. Mr. Egan received an AB, cum laude, from Harvard College and has passed all three CFA exams.



Regulatory

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The U.S. Investment Advisor Registration

CPC is a registered investment advisor with the U.S. Securities and Exchange Commission.

Registration with the Ministry of Finance Japan

CPC is a registered investment advisor with the Ministry of Finance Japan.

CONTACT US

Company: Cook Pine Capital LLC
Address: 2 Sound View Drive, 2nd Fl.
Greenwich, CT 06830
TEL: 203-861-2930
FAX: 203-861-2931
E-mail: info@cookpinecapital.com

Name

Email



Submit

