

BrokerCheck Report

JOHN CHRISTOPHER COOKE

CRD# 2161718

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

JOHN C. COOKE

CRD# 2161718

Currently employed by and registered with the following Firm(s):

B **SANCTUARY SECURITIES, INC.**
 9340 Priority Way West
 Indianapolis, IN 46240
 CRD# 205
 Registered with this firm since: 11/10/2016

IA **SANCTUARY ADVISORS, LLC**
 9340 Priority Way West
 Indianapolis, IN 46240
 CRD# 226606
 Registered with this firm since: 11/10/2016

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications**This broker is registered with:**

- 1 Self-Regulatory Organization
- 29 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History**This broker was previously registered with the following securities firm(s):**

- B** **WELLS FARGO ADVISORS, LLC**
 CRD# 19616
 INDIANAPOLIS, IN
 07/2003 - 11/2016
- IA** **WELLS FARGO ADVISORS, LLC**
 CRD# 19616
 ST. LOUIS, MO
 07/2003 - 11/2016
- IA** **PRUDENTIAL SECURITIES INCORPORATED**
 CRD# 7471
 NEW YORK, NY
 01/1994 - 07/2003

**Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 29 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **SANCTUARY ADVISORS, LLC**

Main Office Address: **250 W. 96TH ST.
#300
INDIANAPOLIS, IN 46260**

Firm CRD#: **226606**

	U.S. State/ Territory	Category	Status	Date
IA	Indiana	Investment Adviser Representative	Approved	11/10/2016
IA	Texas	Investment Adviser Representative	Restricted Approval	01/05/2021

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.

Employment 2 of 2

Firm Name: **SANCTUARY SECURITIES, INC.**

Main Office Address: **250 W., 96TH ST.
#300
INDIANAPOLIS, IN 46260-1329**

Firm CRD#: **205**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	11/10/2016

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	12/01/2016



Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Alaska	Agent	Approved	01/04/2021
B	Arizona	Agent	Approved	11/10/2016
B	California	Agent	Approved	12/01/2016
B	Colorado	Agent	Approved	12/01/2016
B	Connecticut	Agent	Approved	01/04/2021
B	Florida	Agent	Approved	11/10/2016
B	Georgia	Agent	Approved	11/10/2016
B	Hawaii	Agent	Approved	12/21/2017
B	Illinois	Agent	Approved	11/10/2016
B	Indiana	Agent	Approved	11/10/2016
B	Iowa	Agent	Approved	01/04/2021
B	Massachusetts	Agent	Approved	12/01/2016
B	Michigan	Agent	Approved	12/01/2016
B	Minnesota	Agent	Approved	01/04/2021
B	Missouri	Agent	Approved	12/01/2016
B	New Jersey	Agent	Approved	11/10/2016
B	New Mexico	Agent	Approved	01/04/2021
B	New York	Agent	Approved	11/10/2016
B	North Carolina	Agent	Approved	01/04/2021
B	Ohio	Agent	Approved	11/10/2016
B	Oregon	Agent	Approved	11/10/2016



Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Pennsylvania	Agent	Approved	11/10/2016
B	South Carolina	Agent	Approved	12/01/2016
B	Tennessee	Agent	Approved	01/04/2022
B	Texas	Agent	Approved	11/10/2016
B	Virginia	Agent	Approved	11/10/2016
B	Washington	Agent	Approved	12/01/2016
B	Wisconsin	Agent	Approved	12/01/2016

Branch Office Locations

SANCTUARY SECURITIES, INC.

9340 Priority Way West
Indianapolis, IN 46240



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	08/01/1991

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	06/01/1993
B Uniform Securities Agent State Law Examination	Series 63	08/12/1991

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 07/2003 - 11/2016	WELLS FARGO ADVISORS, LLC	19616	INDIANAPOLIS, IN
IA 07/2003 - 11/2016	WELLS FARGO ADVISORS, LLC	19616	INDIANAPOLIS, IN
IA 01/1994 - 07/2003	PRUDENTIAL SECURITIES INCORPORATED	7471	INDIANAPOLIS, IN
B 08/1992 - 07/2003	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B 08/1991 - 10/1991	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
11/2016 - Present	Sanctuary Wealth	Registered Representative	Y	Indianapolis, IN, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	INDIANAPOLIS, IN, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

- (1) Inactive CPA license.
- (2) Board of Directors for Conner Prairie Foundation, 4 hours per month, no compensation.
- (3) Board member of the Cooke Family Foundation, 4 hours per month, no compensation.
- (4) Board of Directors for Saint Vincent Hospital- Fishers, 4 hours per month, no compensation.



Registration and Employment History

Other Business Activities, continued

(5) Inactive Indiana State Attorneys License.

(6) Judy Goldblatt Family Revocable Life Insurance Trust, Trustee, 1 hour quarterly, no compensation.

(7) CFG Properties, LLC. Indianapolis, IN. Business rental property. Managing member. Not investment related. No hours during trading hours. Affiliated January 2020.

(8)

Name: CFG Cloud, LLC

Position: member

Nature: own a portion of an aircraft and lease it for business uses

Investment Related: No

Hours: 0

Securities Trading Hours: 0

Start Date: 03/01/2021

Address: 9340 Priority Way West Drive, Indianapolis IN 46240, United States

Description: none, owner

(9)

Name: Sanctuary Wealth

Position: Member of Board of Managers

Nature: Financial Services Firm

Investment Related: No

Hours: 5

Securities Trading Hours: 0

Start Date: 11/04/2016

Address: 250 W96th Street, Suite 300, Indianapolis IN 46260, United States

Description: Member of Board of Managers

(10)

Name: Kennected

Position: investor

Nature: teaching companies to use LinkedIn for lead generation and providing software that makes the lead generation productive and easier.

Investment Related: No

Hours: 0

Securities Trading Hours: 0

Start Date: 12/29/2021

Address: 201 S Capital Suite 800, Indianapolis IN 46225, United States

Description: investor in a convertible note.



Registration and Employment History

Other Business Activities, continued

(11)

Name: Ascension St Vincent North Region BOD
Position: Board Member Nature: Hospital BOD
Investment Related: No
Hours: 2
Securities Trading Hours: 0
Start Date: 01/01/2015
Address: 250 W. 96th St, Suite 600, Indianapolis IN 46260, United States
Description: Board Member

(12)

Name: Cedarstone HOA
Position: Treasurer Nature: HOA for 9 homes.
Investment Related: No
Hours: 1
Securities Trading Hours: 0
Start Date: 01/01/2022
Address: 13625 E 114th St, Indianapolis IN 46037, United States
Description: report to BOD and HOA annually.

End of Report



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