

# MICHAEL COOK

LEGACY PLANNING & ASSOCIATES, INC.  
630 KENMOOR AVE SE, SUITE 100  
GRAND RAPIDS, MI 49546  
(616) 719-2930

## FIRM SUPPLEMENTAL BROCHURE ADV PART 2B MARCH 23, 2021

This Brochure Supplement provides information about Michael Cook that supplements the Legacy Planning & Associates, Inc brochure. You should have received a copy of that brochure. Please contact Mr. Cook at (616) 719-2930 if you did not receive Legacy Planning & Associates, Inc's Brochure or if you have any questions about the contents of this supplement.

Additional information about Michael Cook is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). You can search this site by a unique identifying number, known as a CRD number. The CRD number for Mr. Cook is 7132095.

## Item 2 – Educational Background and Business Experience

Michael Cook

Born: 1974

Education:

*University of Michigan* – Bachelor of Administration in International Relations - 1997

Business Background:

*Legacy Planning & Associates, Inc.* – November 2018 to Present  
– Investment Adviser Representative & Operations Manager

*Advisory Advocates, LLC* – February 2021 to Present  
– Investment Adviser Representative & CCO

*Luminist Capital, LLC* – February 2018 to October 2018  
– Registered Assistant

*Unemployed* – January 2017 to January 2018

*BetterTrades, Inc.* – June 2003 to December 2016  
– Sales Representative

## Item 3 – Disciplinary Information

Registered investment adviser representatives are required to disclose all material facts regarding any legal or disciplinary events that could be material to your evaluation of each supervised person providing investment advice. These include the following:

- A. A criminal or civil action in a domestic, foreign or military court of competent jurisdiction in which the *supervised person*
  1. was convicted of, or pled guilty or nolo contendere (“no contest”) to (a) any *felony*; (b) a *misdemeanor* that *involved* investments or an *investment-related* business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, or extortion; or (c) a conspiracy to commit any of these offenses;
  2. is the named subject of a pending criminal *proceeding* that involves an *investment-related* business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses;
  3. was *found* to have been *involved* in a violation of an *investment-related* statute or regulation; or
  4. was the subject of any *order*, judgment, or decree permanently or temporarily enjoining, or otherwise limiting, the *supervised person* from engaging in any *investment-related* activity, or from violating any *investment-related* statute, rule, or *order*.

Mr. Cook has no information applicable to this item.

- B. An administrative *proceeding* before the SEC, any other federal regulatory agency, any state regulatory agency, or any *foreign financial regulatory authority* in which the *supervised person*
1. was *found* to have caused an *investment-related* business to lose its authorization to do business; or
  2. was *found* to have been *involved* in a violation of an *investment-related* statute or regulation and was the subject of an *order* by the agency or authority
    - i. denying, suspending, or revoking the authorization of the *supervised person* to act in an *investment-related* business;
    - ii. barring or suspending the *supervised person's* association with an *investment-related* business;
    - iii. otherwise significantly limiting the *supervised person's investment-related* activities; or
    - iv. imposing a civil money penalty of more than \$2,500 on the *supervised person*.

Mr. Cook has no information applicable to this item.

- C. A *self-regulatory organization (SRO) proceeding* in which the *supervised person*
1. was *found* to have caused an *investment-related* business to lose its authorization to do business; or
  2. was *found* to have been *involved* in a violation of the *SRO's* rules and was: (i) barred or suspended from membership or from association with other members or was expelled from membership; (ii) otherwise significantly limited from *investment-related* activities; or (iii) fined more than \$2,500.

Mr. Cook has no information applicable to this item.

- D. Any other *proceeding* in which a professional attainment, designation, or license of the *supervised person* was revoked or suspended because of a violation of rules relating to professional conduct. If the *supervised person* resigned (or otherwise relinquished his attainment, designation, or license) in anticipation of such a *proceeding* (and the adviser knows, or should have known, of such resignation or relinquishment), disclose the event.

Mr. Cook has no information applicable to this item.

#### Item 4 – Other Business Activities

Mr. Cook is an investment adviser representative and Chief Compliance Officer of Advisory Advocates, LLC, a registered investment adviser. He spends approximately 10 hours a month on this activity. Mr. Cook may recommend these services to clients. This other business activity pays him advisory fees that are separate from the fees described in the firm's ADV Part 2A. This is a

conflict of interest because the advisory fees give Mr. Cook a financial incentive to recommend and sell additional advisory services to clients. However, Mr. Cook attempts to mitigate any conflicts of interest to the best of his ability by placing the client's interests ahead of his own, through his fiduciary duty and by informing clients that they are never obligated to use recommended services through him.

Mr. Cook is president of TrendLogic, Inc., a management firm. He spends approximately 3 hours a month on this non-investment related activity.

### Item 5 – Additional Compensation

Mr. Cook does not receive any additional compensation.

### Item 6 – Supervision

Mr. Cook is supervised by Michael Wood the firm's managing member and Chief Compliance Officer. Mr. Wood will review all new accounts opened by Mr. Cook. You may contact Mr. Wood at (616) 719-2930.

### Item 7 – Requirements for State-Registered Advisers

- A. Mr. Cook has **NOT** been involved in any of the events listed below.
1. An award or otherwise being *found* liable in an arbitration claim alleging damages in excess of \$2,500, *involving* any of the following:
    - (a) an investment or an *investment-related business* or activity;
    - (b) fraud, false statement(s), or omissions;
    - (c) theft, embezzlement, or other wrongful taking of property;
    - (d) bribery, forgery, counterfeiting, or extortion; or
    - (e) dishonest, unfair, or unethical practices.
  2. An award or otherwise being *found* liable in a civil, *self-regulatory organization*, or administrative *proceeding involving* any of the following:
    - (a) an investment or an investment-related business or activity;
    - (b) fraud, false statement(s), or omissions;
    - (c) theft, embezzlement, or other wrongful taking of property;
    - (d) bribery; forgery, counterfeiting, or extortion; or
    - (e) dishonest, unfair, or unethical practices.
- B. Mr. Cook has **NOT** been the subject of a bankruptcy petition at any time.