

Team Profile for The Michael Cooper Group



The Michael Cooper Group

<http://www.fa.smithbarney.com/cooper>

Michael Cooper

590 Madison Ave. 11th Floor

New York, NY, 10022

Telephone: [212] 315-6331



My Business Philosophy

We are a fee based father and son team with over 70 years of combined experience, and are dedicated professionals (CPA, CFP, ChFC, CASL) who offer unbiased tax and financial advice. We also do not offer any firm based investments.

To achieve your goals and dreams, we will construct a portfolio and prepare a written tax and financial plan (covering investment and retirement planning, estate and income taxation, insurance analysis, and cash flow analysis) to meet your objectives, risk tolerance and time horizon.

By utilizing prior Big 4 (at KPMG Peat Marwick) CPA accounting skills developed over the past 25 years, as well as my father's 50 years of practical experience, we combine the right combination of technical knowledge and experience.

Let our knowledge work for you

Our Education

Members of our firm or team hold the following numbers of degrees

BA/BS/Equivalent: 3

MBA/MS/MA/Equivalent: 1

Financial Services

Number of Professionals and support staff:

Investment professionals: 3

Other professionals: 2

Support staff: 2

Background of key professionals:

Name	CRD/IARD #	Experience (Yrs)	Certification(s)	Degree(s)
Michael Cooper	Not Available	25	CFP ®, CPA/PFS, ChFC © CASL	BA, MBA
Sid Cooper	Not Available	50		BS

Our professionals currently hold the following active securities licenses:

- Series 7 - Sell any type of security, mutual fund, or variable annuity
- Series 6 - Sales limited to mutual funds, variable annuities, variable life
- Series 63 - Sell securities across state lines
- Series 65 - Act as an investment advisor for fees
- Series 66 - Act as an agent of a Broker/Dealer and an investment advisor

We provide our CRD or IARD numbers upon request:

- Yes

You can view our compliance record for financial services and products by going to www.finra.org and entering our CRD or IARD numbers. If no record appears, go to our state's securities commissioner website and enter the same number. <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/index.htm>

Our firm or team is a Registered Investment Advisor (RIA)

Members of our firm or team are acknowledged fiduciaries

We provide the following types of financial planning services:

- Financial Planning
- Retirement Planning
- College Planning
- Charitable Planning
- Tax Planning
- Investment Strategy
- Current Plan Reviews

We provide the following types of non-discretionary investment advice and services:

- Investment Strategy & Policy
- Asset Allocation
- Money Manager Selection
 - Active
 - Passive
- Risk Management
- Performance Measurement
- Tax Efficient Strategies
- Current Portfolio Reviews

We provide discretionary money management services and invest in the following:

- Equity Securities
- Fixed Income
- Securities
- Foreign Securities
- Exchange Traded Funds
- Mutual Funds (Retail)

We provide a track record to investors

- The track record is GIPS compliant.
- The track record is audited by an independent third party.

We market the following types of investment products:

- Mutual funds
- Exchange Traded Funds
- Securities
- Mortgages
- Limited Partnerships

Our minimum asset requirement for investment services is:

- \$500,000

Our minimum net worth requirement for our planning services is:

- \$500,000

Our primary professional association memberships include:

- AICPA
- FPA
- Who's Who of professionals

Tax & Accounting Services

Firm professionals and support staff:

Number of CPAs: 1

Number of accounting professionals: 1

Number of support staff: 2

Background of key professionals:

Name	Experience (Yrs)	Certification(s)	Degree(s)
Michael Cooper	25	CPA Financial Certification(s) CFP ®, ChFC © CASL	BS, MBA

All of our CPAs are members in good standing with the American Institute of Certified Public Accountants

We provide services for the following types of clients:

- Individuals & Families
- Businesses

We provide the following tax and accounting services to individuals and families:

- Tax Planning

We provide additional tax and accounting services to individuals and families:

- Estate Planning

We provide the following tax and accounting services to businesses:

- Business succession planning

You can view our compliance record for tax and accounting services by going to our State Board of Accountancy's website:

- <http://www.op.nysed.gov/cpa.htm>

Our primary professional association memberships include:

- AICPA

Insurance Services

Firm professionals and support staff:

Number of insurance professionals: 2

Number of other professionals: 3

Number of support staff: 2

Background of key professionals:

Name	License number	Experience (Yrs)	Certification(s)	Degree(s)
Michael Cooper	0	25	ChFC®, CASL®, CFP	BS, MBA

We hold the following active insurance licenses:

- Life
- Annuity
- Long-Term Care
- Disability
- Health

You can view our compliance record for insurance services and products by going to our state's Insurance Commissioner website:

- http://www.naic.org/state_web_map.htm

We market the following types of insurance products:

- Life Insurance
- Annuities
- Long-term care
- Disability income
- Health

Business Practices

Our method(s) of compensation are:

- Asset-based fee (Percent of assets)

We provide services to remote clients over the telephone and Internet

We provide the following types of information services:

- Monthly reports
- Quarterly reports
- Annual reports

- Market Letters
- Newsletters

We generally respond to client calls or emails:

- The same business day (If call or email is received in the AM)

Certification:

We certify all of the information in our firm profile is accurate, complete, and up-to-date.

Firm: The Michael Cooper Group

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