

ITEM 1. COVER PAGE

Firm Brochure

Form ADV Part 2A.

NORTHCOAST RESEARCH PARTNERS, LLC

CRD # 149109

Erievue Tower

**1301 East Ninth Street
Suite 1500**

Cleveland, OH 44114

Northcoastresearch.com

April 25, 2024

The brochure provides information on the qualifications, advisory business, fee arrangements, types of customers, investment strategies, code of ethics, custody policies and financial information of Northcoast Research Partners, LLC (“**Northcoast Research**”, “**Northcoast**” and/or the “**Firm**”) all of which should be considered before becoming an advisory customer (“**Advisory Customer**”) of our Firm. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission (the “**SEC**”) or by any state securities authority.

If you have any questions about the contents of this brochure or would like to request a brochure, please contact Marty Rizzo, Chief Compliance Officer at (216) 468.6900 or by email at marty.rizzo@northcoastresearch.com. Northcoast is a dually registered investment adviser with the State of Ohio and Broker-Dealer and member with the Financial Industry Regulatory Authority, Inc. (“**FINRA**”). Registration as an investment adviser or broker-dealer does not imply any level of skill or training.

Additional information about Northcoast is available on the SEC’s website at www.adviserinfo.sec.gov. You can search this site by using a unique identifying number, known as a CRD number. Our firm’s CRD number is 149109.

ITEM 2. MATERIAL CHANGES

Since its last filing on March 12, 2024, there has been no material changes. This filing is being submitted to correct inconsistencies in the Firm's business descriptions.

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ITEM 4. ADVISORY SERVICES

Northcoast Research Partners, LLC (“Northcoast Research”, “Northcoast”, the “Firm” “we”, “our”, and/or “us”) is a limited liability company formed in October 2008 under the laws of the State of Ohio. The Firm is a registered investment advisor with the State of Ohio pursuant to the Ohio Rev. Code §1707.151 as of June 2023. The Firm has been a registered Broker-Dealer and member of FINRA (www.finra.com) and SIPC (www.sipc.com) since July 2009. The Firm is wholly owned by Northcoast Research Holdings, LLC, and its managing members are Marty Rizzo, Sal Raffa and Kartik Mehta.

a) Advisory Customers

Northcoast Research is an independent investment research firm with a differentiated research process that enables our Advisory Customers to generate superior investment performance.

Northcoast Market Research (“NMR”) is the process that gives our Advisory Customers a competitive edge. We focus on company specific bottoms-up fundamental analysis, tracking near-term dynamics while also maintaining longer-term perspective. The proprietary information our NMR generates helps us to identify industry trends and company-specific inflection points. Combined with our vast network of industry contacts, this information helps to frame our financial modeling, and ultimately the timely, actionable investment recommendations by our experienced research analysts.

Beyond the public companies’ formal guidance, our research process is focused on developing unique sources of real-time information that aids in predicting business trends and future growth forecasts. We not only strive to develop a dialogue with important members of each company’s operating team, but also seek out private company competitors, suppliers, distributors, former executives, and consultants to generate differentiated perspectives.

Our research team conducts in-depth channel checks and surveys including live conversations with many of our contacts. These allow us to provide our partners with exclusive information and insight embodied in dozens of periodic research reports in the Industrial, Consumer and Business Service sectors. The combination of our experience, relationships with our companies, vast networks of industry contacts and our proprietary data and financial models makes the NMR process a value-added source of information geared to make a positive impact on our Advisory Customers’ investment process.

The Firm’s NMR focus on company specific bottoms-up fundamental analysis, tracking near-term dynamics while also maintaining longer-term perspective. The research is designed to be useful to professional money managers making investment decisions.

The Firm’s equity research process gives our Advisory Customers a competitive edge. The insight the Firm gains through key industry relationships and our own proprietary data and financial models aid us in predicting business trends and future growth forecast for the companies and industries we cover.

By leveraging long-standing relationships with key industry professionals, along with propriety data to identify business trends, our insight is ultimately processed into detailed financial models, research reports and timely investment recommendations for our Advisory Customers.

The frequency of reports issued by Northcoast may depend on a specific Advisory Customer’s preference regarding the frequency and manner of receiving communications, the Advisory Customer’s risk profile, investment horizon, and the size and scope of the overall Advisory Customers relationship with the Firm, as well as legal and regulatory constraints, but the goal is to publish at least quarterly reports on the companies the Firm covers.

The EU Markets in Financial Instruments Directive II (“MiFID II”), which came into effect on January 3, 2018, raised concerns that U.S. broker-dealers that would receive “hard dollars” for research from firms subject to MiFID II could be classified as investment advisers under the U.S. Investment Advisers Act of 1940 (the “Advisers Act”). U.S. registered broker-dealers, such as Northcoast, have historically relied on an exception from the definition of “investment adviser” under the Advisers Act (in respect of research distribution) that is conditioned on (i) investment advice being incidental to the firm’s broker-dealer business, and (ii) the broker-dealer not receiving “special compensation” therefor. The conventional view is that “hard dollar” payments in exchange for securities research is “special compensation” for investment advice (*i.e.*, the investment research). A 2017 SEC Staff no-action letter provided temporary relief from this concern in respect of payments to broker-dealers from firms subject to MiFID II, which expired on July 3, 2023.

In a July 26, 2022, speech by the Director of the SEC, he provided a more definite conclusion to the no-action letter. In the speech, the Director indicated commencing on July 3, 2023, a broker-dealer will not be able to accept hard dollar payments, including from firms subject to MiFID II requirements, in exchange for research in reliance on the Section 202(a)(11)(C) broker-dealer exclusion.

Based on the withdrawal of the No-Action Letter, in order to continue to provide research reports to those

Advisory Customers that are subject to the implementation of MiFID II, the Firm applied for and was approved to become an Ohio Investment Advisor pursuant to Chapter 1301:6 of the Ohio Advisers Act in June 2023.

In preparing research reports, the Firm does not (i) formulate investment advice for a designated recipient or (ii) have discretionary authority over an Advisory Customers' assets.

Northcoast has no regulatory assets under management, as we do not manage any investment assets. Northcoast does not offer nor participate in any wrap-fee programs.

As a matter of policy and practice, Northcoast prohibits the offering of favorable research, a specific rating or a specific target price as consideration or inducement for the receipt of business or compensation. In addition, associated persons preparing research reports are prohibited from owning securities in the subject companies.

ITEM 5. FEES AND COMPENSATION

Northcoast negotiates fees for access to its research reports, analysis, financial models, and meetings with a company's management, with each of its Advisory Customers based on various factors. These factors include the anticipated level of direct access to and interaction with the Firm and its analysts.

Advisory Customers may also request other services, including but not limited to, specific research requests, access to analysts, etc. that the Firm would separately charge an Advisory Customer in addition to its negotiated fees.

The relationship may be terminated by an Advisory Customer at any time.

ITEM 6. PERFORMANCE-BASED FEES AND SIDE-BY-SIDE MANAGEMENT

Performance based fees are based on a share of capital gains on or capital appreciation of the Advisory Customer's assets. The Firm does not accept performance-based fees or engage in Side-By-Side Management.

ITEM 7. TYPES OF ADVISORY CUSTOMERS

Northcoast provides research reports primarily to institutional investors, which include investment advisers, broker-dealers, and asset management firms and publicly offered investment funds.

We do not provide advisory services to private individuals.

ITEM 8. METHODS OF ANALYSIS, INVESTMENT STRATEGIES AND RISK OF LOSS

a) Methods of Analysis and Investment Strategies

Northcoast uses various methods of analysis and strategies in formulating specific investment advice provided in its research reports as described below. Investing in securities and other investments involves the risk of loss, including the possible risk of losing the entire investment. Advisory Customers should be prepared to bear such a loss.

Northcoast's reports are based on bottoms up fundamental research and analysis. Northcoast focuses on what is going on at covered companies and how we expect them to perform in the future. In addition to the Firm's fundamentals, we consider overall economic and market conditions.

Northcoast selects industry groups and individual companies based on conventional analysis of profitability, balance sheet, and cash-flow. Northcoast may employ ratio analysis (e.g., price-to-earnings, price-to-book value, price-to-dividends) to evaluate absolute and relative attractiveness. We may use dividend discount models and discounted free cash flow to estimate fair values. Moreover, we sometimes use money-flow analysis to monitor inflow or outflow of assets.

We employ a number of methods of analysis to formulate recommendations for individual stock opinion. These include:

- Fundamental company analysis
- Economic forecasts
- Analysis of government policy, fiscal policy, and central bank policy
- Effects of changing demographics
- Analysis of global banks, liquidity, and corporate credit
- Impact of geopolitical events
- Impact of technology on wider industries

The analysis is based on publicly available information, sourced from generally available media, financial databases, and official company disclosures. We have strict research compliance policies and procedures to avoid obtaining nonpublic material information and providing any such information inadvertently obtained to our Advisory Customers.

b) Material Risks

Northcoast's research and advice often involves a high degree of risk, and for which market or valuation information may be limited. Such securities can carry a significant risk of loss. Northcoast may not be successful in identifying all risks associated with such securities or may fail to project accurately or precisely the future cash flows and other valuation information of such securities. The Advisory Customers should be prepared to bear a complete loss of its investment.

The following is a summary of the typical, significant material risks associated with securities that Northcoast may recommend for an Advisory Customers. The Advisory Customers should review thoroughly the particular risk disclosures contained in offering or other documents associated with any particular investment.

- **Credit or Default Risk:** Many securities, such as debt instruments or real estate leases or other interests, are exposed to the risk that the debtor, lessee, or another counterparty may experience difficulty paying its obligations. The debtor, lessee, or other counterparty may seek bankruptcy protection which can limit or impair the rights of the investor.
- **Interest Rate Risk:** Many securities earn fixed interest rates which lose intrinsic and market principal value in an environment of rising interest rates.
- **Market or Principal Risk:** Many securities are exposed to declining market valuations due either to the specific market for the investment declining or the overall level of market prices declining. Real estate and other securities may come in and out of favor with investors, which may cause the market value to fluctuate with or without any inherent change in the underlying asset. The investor may receive less than the invested amount if the market value of the investment declines after the investment is made. Some securities may lose all their value if the issuer or obligor fails.
- **Inflation Risk:** Some securities risk failing to keep pace with inflation, and consequently purchasing power will be reduced. Inflation may also negatively impact the return of an investment through increased operating and other costs.
- **Subordinated priority risk:** Certain securities have subordinated priority and are exposed to the additional and special risk that if the issuer or asset fails to perform as expected, creditors or investors with higher priorities may recover, while the subordinated investor will not.
- **Reinvestment Risk:** Some securities, particularly fixed-rate investments, present the risk that the investor will be unable to reinvest principle or earnings at the same rate of return earned by the initial investment.
- **Currency Risk:** Securities denominated in foreign currencies are exposed to the risk that those currencies will decline in value relative to the U.S. dollar (or other local currency of the Advisory Customers) and that converting those foreign currencies back to U.S. dollars (or other local currency of the Advisory Customers) will have an unfavorable exchange rate and transaction cost.
- **Prepayment Risk:** Some securities allow the issuer to return principal or capital to an investor prior to expiration of the investment's expected or hoped-for full term. The investor may be unable to re-invest at the same or more favorable terms, creating Reinvestment Risk described above.
- **Economic Risk:** Many securities will experience appreciation or depreciation or may experience an increase or decrease in cash flows or other investment return based on changes in the general or local economic conditions.
- **Industry / Sector Risk:** Certain securities are exposed to the performance of a particular industry or sector which may impact the value of the investment.
- **Company or Asset Specific Risk:** Most securities are exposed to the risk that the particular issuer, obligor, or asset may fail to meet expectations, fail to pay dividends, or interest, or succumb to competition or other forces. This risk is particularly acute for start-up and early-stage ventures. While some securities have security interests in property or other collateral, such property or collateral may be inadequate to cover the investment and may require time and expense before the security can be liquidated under the security agreements.
- **Liquidity Risk:** Most securities are exposed to the uncertainty of obtaining a fair price due to lack of a liquid market, thinly traded market, or poor market environment.
- **Regulatory / Environmental / Tax Risk:** Some securities are exposed to the uncertainty as to whether governments or regulators may change or impose regulations or tax laws that adversely affect the investment.

- **Management/ Operational Risk:** Securities relying on third party managers, processes or systems are exposed to the risk that the particular people, processes or systems will perform poorly relative to expectations or competition.
- **Legal Risk:** Securities, particularly those involving membership interests in entities managed by third parties, are exposed to a risk of financial or reputational loss arising from: regulatory or legal action; disputes for or against the company; failure to correctly document, enforce or adhere to contractual arrangements; inadequate management of non-contractual rights; or failure to meet non-contractual obligations.
- **Information Technology Risk:** Securities, particularly those involving emerging technologies, are at risk for general IT threats (such as hardware and software threats, malware, viruses, spam, scams, and phishing); criminal IT threats (such as hackers, fraud, security breaches, password theft and denial of service) and natural disasters (such as fire, floods, and damage to buildings or hardware).
- **Imperfect Correlation Risk:** Hedging positions designed to offset or eliminate particular risks are subject to the possibility that the hedging product will not perform as expected due to imperfect correlation or other reasons, and the risk intended to be hedge will materialize without the expected protection.
- **Event Risk:** Some securities are exposed to the danger of sudden, calamitous news or other events that directly and adversely affects the value, liquidity, or return of the investment, and for which the loss is uninsured. These may include acts of war, terrorist activity, data breach, compromise, or failure of current or emerging information technology, storms, natural disasters, and other such events.
- **Fraud Risk:** Many securities are exposed to the risk of fraud by an issuer, manager, or some third party that adversely and materially affects the value of the investment.
- **Actuarial Risk:** Insurance-related securities are subject to the risk that the expected insured risk materializes at a different rate and adversely to the projected and assumed risk underlying the investment obligation.
- **Demand Risk:** Certain securities, particularly consumer and entertainment companies and assets, have the risk of changing consumer tastes and preferences and falling out of favor with the public, which can diminish the cash flow and value of the asset.
- **Political Risk:** Certain securities may be subject to domestic and foreign political situations and other factors.
- **Competition for Securities:** Northcoast may recommend the acquisition of assets or other securities in which many other investors, some of which will have greater resources or interest in a particular security. Competition for these assets or other securities may result in less favorable investment terms than would otherwise be the case.
- **Valuation Risk:** Our price target, as well as our recommendations, are mostly based on a 12-month time horizon; however, we cannot guarantee an investor will achieve these results. We use a variety of methods to determine the price target of individual securities including fundamental analysis. In addition, we employ numerous valuation methodologies which include, but are not limited to, price to earnings multiples, enterprise value to earnings before interest, taxes, depreciation, and amortization (“EBITDA”), book value, free cash flow yield, discounted cash flow, and relative valuation. All securities are subject to various risk factors.
- **Outbreaks of Infectious or Contagious Diseases.** Pandemics and other widespread public health emergencies, including outbreaks of infectious diseases such as SARS, H1N1/09 flu, avian flu, Ebola, and the current outbreak of COVID-19 have and are resulting in market volatility and disruption, and future such emergencies have the potential to impact economic production and activity materially and adversely in ways that are impossible to predict, and could have a significant adverse impact on investments.

While the Firm strives to render its best judgment on behalf of its Advisory Customers, many economic and market variables are beyond the control of the Firm and these variables may affect the performance of your investments. Northcoast cannot assure you that your investments will be profitable, or that no losses will occur in your investment portfolio. Past performance is one consideration with respect to any investment or investment advice, but it is not a predictor of future performance.

ITEM 9. DISCIPLINARY INFORMATION

Northcoast has no legal or disciplinary events or findings to disclose.

ITEM 10. OTHER FINANCIAL INDUSTRY ACTIVITIES AND AFFILIATIONS

As mentioned above, the Firm is registered as a FINRA broker-dealer. As a broker-dealer, the Firm prepares research reports for its broker-dealer clients and receives payment for those research reports through brokerage commissions on an agency basis or through a Commission Sharing Agreement (“CSA”) it has

entered into with the broker-dealer client (“**Broker-Dealer Clients**”). The Firm also receives payment from public companies to provide research on their company, Corporate Sponsored Research (“**CSR Clients**”). The Firm does not custody any customers accounts. It is not registered as a futures commission merchant, commodity pool operator or commodity trading advisor and does not have an application pending to register in any of those capacities.

Each of the Firm’s Advisory Customers, Broker-Dealer Clients, and CSR Clients will receive the same research reports. The only difference is how the Firm receives payment.

The Firm only prepares research reports for its clients, it does not (i) formulate investment advice for its clients in which the Firm has direct client contact; or (ii) have discretionary authority over its client’s assets.

None of the Firm’s management or supervised persons are registered as, or has an application pending to register, as a futures commission merchant, commodity pool operator, or commodity trading advisor.

ITEM 11. CODE OF ETHICS, PARTICIPATION OR INTEREST IN ADVISORY CUSTOMERS TRANSACTIONS AND PERSONAL TRADING

a) Code of Ethics

Northcoast’s Code of Ethics (the “**Code**”) incorporates the following general principles which all employees are expected to uphold: (i) employees must at all times place the interests of the Advisory Customers first; (ii) personal securities transactions must be reported and reviewed; (iii) employees must not take any inappropriate advantage of their positions with Northcoast; (iv) information concerning the identity of securities and financial circumstances of the Advisory Customers and other investors must be kept confidential; and (v) independence in the investment decision-making process must be maintained at all times.

The Code is available to all Advisory Customers, investors, or prospective Advisory Customers and/or investors upon request to Marty Rizzo, Northcoast’s Chief Compliance Officer at 216.468.6900 or by email at marty.rizzo@northcoastresearch.com.

b) Insider Trading Policy

It is further noted that the Firm has policies and procedures in place that are reasonably designed to ensure compliance with the Insider Trading and Securities Fraud Enforcement Act of 1988. Specifically, the Firm has adopted a firm-wide policy statement that outlines insider trading compliance by the Firm and its associated persons or other employees. This statement has been distributed to all associated persons and other employees of the Firm and has been signed by each such person. Further, the Firm has adopted a written supervisory procedures statement highlighting the steps that shall be taken to implement the firm-wide policy. There are provisions adopted for (i) restricting access to files, (ii) restricting and/or monitoring trading on those securities of which the Firm’s employees may have non-public information, and (iii) monitoring the securities trading of the Firm and its employees and associated persons.

c) Personal Account Dealing

Northcoast has adopted procedures to protect Advisory Customers interests when its associated persons invest in the same securities as those selected for or recommended to Advisory Customers. In the event of any identified potential trading conflicts of interest, Northcoast’s goal is to place Advisory Customers interests first.

The aim of the Firm’s Personal Account Dealing (“**PAD**”) policy is to ensure that all regulations in all jurisdictions in which Northcoast operates are adhered to where trading and investment made by employees for their personal accounts is concerned.

The term 'employee' includes consultants, secondees and temporary employees who are materially involved in investment business or whose term of employment exceeds one month.

Under the Firm’s PAD Dealing Policy:

- No employee is allowed to affect a personal account transaction if they have reasonable grounds for believing that the Firm intends to publish a written recommendation, or a piece of research or analysis, which could reasonably be expected to affect the price of the investment that is the subject of the transaction.
- Employees of Northcoast are required to identify all related accounts and report them to the Chief Compliance Officer. “Related Accounts” include accounts of their minor children and accounts in which the employees hold beneficial interests or over which they could be deemed to have influence.

- Northcoast employees are required to deal through a registered and licensed broker-dealer or Investment Advisor.
- Northcoast employees are required to seek pre-approval for all trades using the Firm's PAD dealing system.

d) Personal Account Dealing Compliance

Under the Firm's policies and procedure, the following applies to monitoring employee's personal trading activities:

- The Compliance Officer, or, in his/her absence, the CFO, are responsible for vetting and approving requests to trade.
- Employees shall arrange for duplicate brokerage account statements to be sent to the Firm's Chief Compliance Officer, at least monthly.
- The Firm's Chief Compliance officer shall periodically assess whether employees are complying with the Firm's PAD policy, by verifying that broker statements are consistent with the PAD transactions that were pre-approved.
- Disciplinary action will be taken against employees found to have breached the PAD policy.

Consistent with the foregoing, Northcoast maintains policies regarding participation in initial public offerings ("IPOs") and private placements to comply with applicable laws and avoid conflicts with Advisory Customers transactions. If a Northcoast associated person wishes to participate in an IPO or invest in a private placement, he or she must submit a pre-clearance request and obtain the approval of the Chief Compliance Officer.

ITEM 12. BROKERAGE PRACTICES

Northcoast does not select or recommend broker-dealers for Advisory Customers transactions. It does not custody any of its Brokerage Advisory Customers' account(s).

ITEM 13. REVIEW OF ACCOUNTS

Northcoast only prepares research reports, it does not conduct periodic reviews of Advisory Customers account(s) or financial plans.

ITEM 14. ADVISORY CUSTOMERS REFERRALS AND OTHER COMPENSATION

Advisory Customers occasionally request the Firm's assistance to facilitate introductions/referrals for services it does not offer. The Firm will refer a Client to a contra broker-dealer, and the Firm would receive a referral fee from the contra broker-dealer to which it referred the business.

As mentioned above, the Firm receives fees from its Broker-Dealer and CSR Clients for the production of research reports and meetings with Firm management.

Northcoast does not engage paid solicitors for Advisory Customers' referrals.

ITEM 15. CUSTODY

We do not manage or have custody of Advisory Customers funds. Therefore, this item not applicable.

ITEM 16. INVESTMENT DISCRETION

We do not manage Advisory Customers funds. Therefore, this item is not applicable.

ITEM 17. VOTING ADVISORY CUSTOMERS SECURITIES

We do not manage Advisory Customers funds and, accordingly, do not have authority to vote Advisory Customers securities. Therefore, this item is not applicable.

ITEM 18. FINANCIAL INFORMATION

The Firm is not required to include a balance sheet for its most recent fiscal year, because it is not aware of any financial conditions reasonably likely to impair its ability to meet contractual commitments to its Advisory Customers and has never been the subject of a bankruptcy petition. As such, the Firm has nothing to disclose pursuant to this Item #18.

ITEM 19. REQUIREMENTS OF STATE-REGISTERED ADVISERS**a) Principal Executive Officers and Management Persons**

The Firm currently has three Managing Members: (i) Marty Rizzo, (ii) Sal Raffa and (iii) Kartik Mehta. Their education and business backgrounds can be found on the attached **Exhibit 'A'** of this Brochure.

b) Outside Business Activities

Please refer to each Managing Member's attached **Exhibit 'A'** for a description of the Firm's Managing Member's outside business activities.

c) Performance Based Fees

Performance based fees are based on a share of capital gains on or capital appreciation of the Advisory Customers' assets. As disclosed above in Item #6 above, neither our Associated Persons nor the Firm accept performance-based fees.

d) Disciplinary Information

Northcoast and its management do not have any disciplinary disclosures.

e) Other Relationships or Arrangements With Issuers of Securities

The Firm and its Associated Persons do not have any relationships or arrangements with any issuer of securities. Therefore, this requirement is not applicable.

EXHIBIT 'A'

1. Marty Rizzo – CRD # 1520499

Education Background:

- Bachelor of Science – Accounting, (1987)
John Carroll University, University Heights, OH

Business Experience:

- **President/Managing Officer/Chief Compliance Officer** (2017– Present)
Northcoast Research Partners, LLC, Cleveland, OH
- **Registered Securities Representative** (2010 – 2017)
America Northcoast Securities, Cleveland, OH

Licenses/Certifications:

State Securities Exams

- Series 63 – Uniform Securities Agent State Law Examination (2005)
- Series 65 – Uniform Investment Adviser Law Examination (1995)

General Industry/Products Exam

- Series 99T0 – Operations Professional Examination (2023)
- SIE – Securities Industry Essential Examination (2018)
- Series 87 – Limited Representative – Equity Trader Exam (2005)
- Series 7 – General Securities Representative Examination (1994)

General Principal/Supervisory Exam

- Series 14 – Compliance Officer Examination (2023)
- Series 53 – Municipal Securities Principal Examination (1994)
- Series 24 – General Securities Principal (1994)
- Series 27 – Financial and Operations Principal Examination (1986)

Outside Business Activities

- None

2. Sal Raffa CRD # 3213782

Education Background:

- Bachelor of Science – Accounting (1988)
University of Akron, Akron, OH

Business Experience:

- **Managing Member/Chief Financial Officer** (2017– Present)
Northcoast Research Partners, LLC, Cleveland, OH
- **Registered Securities Representative** (2010 – 2017)
America Northcoast Securities, Cleveland, OH

Licenses/Certifications:

State Securities Exams

- Series 63 – Uniform Securities Agent State Law Examination (1999)

General Industry/Products Exam

- Series 99T0 – Operations Professional Examination (2023)
- SIE – Securities Industry Essential Examination (2018)
- Series 7 – General Securities Representative Examination (1999)

General Principal/Supervisory Exam

- Series 24 – General Securities Principal (1999)
- Series 27 – Financial and Operations Principal Examination (1999)

Outside Business Activities

- None

3. Kartik Mehta CRD # 3034087**Education Background:**

- Bachelor of Science – Finance (1988)
University of Akron, Akron, OH
- Master of Business Administration - Finance (1995)
Kent State University, Kent OH

Business Experience:

- **Managing Member/Registered Securities Representative** (2017 - Present)
Northcoast Research Partners, LLC, Cleveland, OH
- **Registered Securities Representative** (2010 – 2017)
America Northcoast Securities, Cleveland, OH

Licenses/Certifications:**State Securities Exams**

- **Series 63** – Uniform Securities Agent State Law Examination (1999)
- **Series 66**– Uniform Combined State Law Examination (2023)

General Industry/Products Exam

- **SIE** – Securities Industry Essential Examination (2018)
- **Series 87** – Limited Representative – Equity Trader Exam (2004)
- **Series 7** – General Securities Representative Examination (1998)

General Principal/Supervisory Exam

- **Series 24** – General Securities Principal (2009)

Outside Business Activities

- None