

# Commonwealth's Investment Management and Research Team

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Commonwealth's Investment Management and Research consultants work with us to help ensure that you receive prudent investment advice. Team members apply their expertise to asset allocation recommendations and advanced portfolio construction while delivering timely insight on market opportunities and investment performance—all so that you can be confident you're offered the products and strategies to best satisfy your goals. Learn more about the team below.



## **Brad McMillan, CFA®** Managing Principal, Chief Investment Officer

Brad started at Commonwealth in 2006. As managing principal, chief investment officer, he oversees Commonwealth's investment and asset management groups, chairing the investment committee and acting as the primary spokesperson for the firm's investment divisions.

Brad is a frequent commentator on the financial markets, U.S. economic policy, and the global economy for a range of national media outlets. He also acts as a key consultant for advisors and clients when markets get difficult. Brad maintains a daily blog, *The Independent Market Observer*, and is a regular contributor to *Forbes*. He also is a frequent guest speaker at industry conferences.

Brad's professional qualifications include designated membership in the CFA Institute. Prior to joining Commonwealth, he founded several companies. He has an undergraduate degree from Dartmouth and graduate degrees from MIT and Boston College.



**Steven Grogan, CFP®**

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Securities and advisory services offered through Commonwealth Financial Network®, Member FINRA/SIPC, a Registered Investment Adviser. Fixed insurance products and services are separate from and not offered through Commonwealth Financial Network®.



### **Brian Price, CFA®**

#### **Managing Principal, Investment Management and Research**

As managing principal, investment management and research, Brian manages the Research team, as well as oversees the asset allocation, fund selection, and overall management of Commonwealth's Preferred Portfolio Services® Select program.

In addition to holding his FINRA Series 7, 63, and 65 securities registrations, Brian is a Chartered Financial Analyst® (CFA®) charterholder. He graduated from Georgetown University with a BA in American government. Prior to joining Commonwealth, Brian worked at Bernstein Investment Research and Management as a senior financial advisor associate.



### **Peter Essele, CFA®, CAIA, CFP®**

#### **Senior Vice President, Investment Management and Research**

As senior vice president of the Investment Management and Research team, Peter oversees asset allocation, fund selection, and overall management of Commonwealth's discretionary platform, Preferred Portfolio Services® Select.

Peter is a Chartered Financial Analyst® (CFA®) charterholder and holds the Chartered Alternative Investment Analyst (CAIA) designation, the CERTIFIED FINANCIAL PLANNER™ professional certification, and his FINRA Series 7, 24, 31, 53, and 66 securities registrations. He is also a member of the Boston Security Analysts Society. Peter graduated from Union College, where he earned a BS in industrial economics. Prior to joining Commonwealth, he held positions at Albany International and Kestner Engineers.



### **Chad LaFauci, CFA®, CAIA**

#### **Vice President, Alternative Investments**

As vice president, alternative investments, Chad is responsible for analysis, approval, and ongoing monitoring of all alternative investment products (e.g., private equity, private credit, hedge funds, real estate, infrastructure, and commodities). In addition, he trains and educates Commonwealth advisors through print and web-based media.

Chad graduated from Bates College with a degree in economics, is a Chartered Financial Analyst® (CFA®) charterholder, and holds the Chartered Alternative Investment Analyst (CAIA) designation and his FINRA Series 7, 24, 63, and 65 securities registrations.



**Jim McAllister, CFA®**  
**Vice President, Equity Research**

Jim oversees the Equity Research team, which assists advisors with ongoing due diligence and analysis of equity-based mutual funds, exchange-traded funds, separately managed accounts, and individual securities. Jim also manages the Preferred Portfolio Services® Select Equity Income and Preferred Portfolio Services® Select ESG All Cap SMA models.

In addition to earning a BS in finance from Lehigh University, Jim is a Chartered Financial Analyst® (CFA®) charterholder. Prior to joining Commonwealth, Jim was a fundamental equity research analyst for Loomis, Sayles & Co. and a research analyst at State Street Global Advisors in the U.S. active quantitative group.



**Brian McCormick, CIMA®**  
**Director, Investment Management and Research**

Brian joined Commonwealth in August 2004 as a member of the Retirement team. In January 2008, he joined the Research team as an investment research associate, responding to advisor inquiries on various topics, including asset allocation, mutual funds, ETFs, and separate account managers.

Brian is the lead analyst for the small-cap asset class and is also responsible for Commonwealth's ETF research and due diligence, including the ETF Reference Guide. In addition to holding FINRA Series 7, 24, and 63 securities registrations, Brian holds the Certified Investment Management Analyst® (CIMA®) designation. He has more than 22 years of industry experience, with prior positions at Signator Investors and Putnam Investments. Brian earned a BS in management from Quinnipiac University.



**Sam Millette**  
**Director, Fixed Income**

As director, Sam's primary responsibilities include overseeing the team's fixed income research initiatives, responding to advisor inquiries, analyzing individual bonds, and drafting market research and commentary.

Sam graduated from Tufts University with a degree in economics and is a member of the CFA Society Boston.



**Robert Kane, CAIA**  
**Manager, Alternative Investments**

As a manager of alternative investments, Rob facilitates due diligence and research activities on products within alternative financial strategies (e.g., managed futures, hedge funds, private credit, private equity, and structured products).

Rob holds the Chartered Alternative Investment Analyst (CAIA) designation, FINRA Series 7, 63, and 66 securities registrations, and a certificate in Advanced Derivative Market Strategies. He earned his bachelor's degree from the University of Massachusetts Amherst.



**Sarah Hargreaves**  
**Platform Manager, Investment Management and Research**

As platform manager, Sarah provides platform-based support for Commonwealth's discretionary platform, Preferred Portfolio Services® Select. She helps respond to ad hoc investment research requests and identifies strategies to enhance adoption of the platform.

Sarah holds her FINRA Series 7 and 66 securities registrations. She earned a degree in marketing from Elon University.