

*This brochure supplement provides information about Nicholas Christophe Foulks that supplements the Drake & Associates, LLC brochure. You should have received a copy of that brochure. Please contact Nicholas Christophe Foulks if you did not receive Drake & Associates, LLC's brochure or if you have any questions about the contents of this supplement.*

*Additional information about Nicholas Christophe Foulks is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).*

## **Drake & Associates, LLC**

Form ADV Part 2B – Individual Disclosure Brochure

*for*

### **Nicholas Christopher Foulks**

Personal CRD Number: 6390644

Investment Adviser Representative

Drake & Associates, LLC  
20855 Watertown Rd Suite 210  
Waukesha, WI 53186  
(414) 409-7226  
[nick.foulks@drakeandassociates.net](mailto:nick.foulks@drakeandassociates.net)

UPDATED: 12/08/2014

## Item 2: Educational Background and Business Experience

**Name:** Nicholas Christophe Foulks      **Born:** 1984

### **Educational Background and Professional Designations:**

#### **Education:**

Bachelors of Science Ministry, University of Northwestern St. Paul - 2008

#### **Business Background:**

08/2014 - Present	Investment Adviser Representative Drake & Associates, LLC
08/2014 - Present	Licensed Insurance Representative Drake and Associates
04/2013 - 08/2014	Team Lead Guardian Resources
10/2011 - 04/2013	Associate Campus Pastor Lifechurch.tv
08/2006 - 10/2011	Associate Pastor Substance Church
06/2006 - 08/2006	Site Supervisor MissionWorks
09/2005 - 05/2006	Office Assistant University of Northwestern St. Paul
05/2005 - 09/2005	Summer Coordinator University of Minnesota
09/2004 - 05/2005	Office Assistant University of Minnesota
05/2004 - 09/2004	Summer Coordinator University of Minnesota

### **Item 3: Disciplinary Information**

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

### **Item 4: Other Business Activities**

Nicholas Christophe Foulks is not engaged in any investment-related business or occupation (other than this advisory firm).

### **Item 5: Additional Compensation**

Nicholas Christophe Foulks does not receive any economic benefit from any person, company, or organization, other than Drake & Associates, LLC in exchange for providing clients advisory services through Drake & Associates, LLC.

### **Item 6: Supervision**

As a representative of Drake & Associates, LLC, Nicholas Christophe Foulks works closely with supervisor Anthony Drake, and all advice provided to clients is reviewed by this supervisor prior to implementation. Anthony Drake can be reached at (414) 409-7226. Nicholas Christophe Foulks adheres to all required regulations regarding the activities of an Investment Adviser Representative and follows all policies and procedures outlined in the firm's policies and procedures manual, including the Code of Ethics, and appropriate securities regulatory requirements.

## Item 7: Requirements For State Registered Advisers

*This disclosure is required by Wisconsin state securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.*

- A. Nicholas Christophe Foulks 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. Nicholas Christophe Foulks has NOT been the subject of a bankruptcy petition in the past ten years.