BrokerCheck Report

JOHN GABELLI

CRD# 1008994

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When communicating online or investing with any professional, make sure you know who you're dealing with. Imposters might link to sites like BrokerCheck from phishing or similar scam websites, or through social media, trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**
- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.
- **Where did this information come from?**
- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
    - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
    - information that regulators report regarding disciplinary actions or allegations against firms or brokers.
- **How current is this information?**
- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.
- **What if I want to check the background of an investment adviser firm or investment adviser representative?**
- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at https://www.adviserinfo.sec.gov. In the alternative, you may search the IAPD website directly or contact your state securities regulator at http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414.
- **Are there other resources I can use to check the background of investment professionals?**
- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.
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Thank you for using FINRA BrokerCheck.

Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org

For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

JOHN GABELLI

CRD# 1008994

Currently employed by and registered with the following Firm(s):

G.DISTRIBUTORS, LLC
ONE CORPORATE CENTER
RYE, NY 10580
CRD# 155071
Registered with this firm since: 06/30/2015

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 5 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

G.RESEARCH, LLC
CRD# 7353
RYE, NY
10/1991 - 12/2019

GABELLI & COMPANY, INC.
CRD# 7353
RYE, NY
12/1981 - 02/1991

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	4

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Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 5 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **G.DISTRIBUTORS, LLC**

Main Office Address: **ONE CORPORATE CENTER**
RYE, NY 10580-1435

Firm CRD#: **155071**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	06/30/2015

	U.S. State/ Territory	Category	Status	Date
B	Connecticut	Agent	Approved	07/16/2015
B	Florida	Agent	Approved	01/12/2016
B	Michigan	Agent	Approved	07/30/2015
B	New Jersey	Agent	Approved	02/08/2017
B	New York	Agent	Approved	08/25/2015

Branch Office Locations

G.DISTRIBUTORS, LLC
ONE CORPORATE CENTER
RYE, NY 10580

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Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam		Category	Date
	No information reported.		

General Industry/Product Exams

Exam		Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	11/21/1981

State Securities Law Exams

Exam		Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	02/10/1992
B	Uniform Securities Agent State Law Examination	Series 63	11/30/1983

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

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Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 10/1991 - 12/2019	G.RESEARCH, LLC	7353	RYE, NY
B 12/1981 - 02/1991	GABELLI & COMPANY, INC.	7353	RYE, NY

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
09/1991 - Present	GABELLI & COMPANY, INC.	NOT PROVIDED	Y	RYE, NY, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

No information reported.

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Disclosure Events

What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

2. **Certain thresholds must be met before an event is reported to CRD, for example:**
   - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.
   -
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
   -
4. **There are different statuses and dispositions for disclosure events:**
   - A disclosure event may have a status of *pending, on appeal,* or *final.*
     - A "pending" event involves allegations that have not been proven or formally adjudicated.
     - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
     - A "final" event has been concluded and its resolution is not subject to change.
   - A final event generally has a disposition of *adjudicated, settled* or *otherwise resolved.*
     - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
     - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
     - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	4	N/A

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Disclosure Event Details

When evaluating this information, please keep in mind that a discloure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	GABELLI & COMPANY, INC.
Allegations:	PLAINTIFFS ALLEGE, AMONG OTHER THINGS, THAT AN AFFILIATE OF GABELLI & COMPANY, INC. IMPROPERLY MANAGED ACCOUNTS OF THE PLAINTIFFS AND AS A RESULT SHOULD BE HELD LIABLE FOR BREACH OF FIDUCIARY DUTY, UNSUITABILITY, COMMON LAW FRAUD, NEGLIGENCE AND GROSS NEGLIGENCE.
Product Type:	Direct Investment-DPP & LP Interests Equity-OTC
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	PLAINTIFFS DO NOT ALLEGE A SPECIFIC COMPENSATORY DAMAGE AMOUNT
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	SUPREME COURT OF THE STATE OF NEW YORK COUNTY OF WESTCHESTER WESTCHESTER COUNTY, NY
Docket/Case #:	15862/10

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Filing date of arbitration/CFTC reparation or civil litigation:	06/23/2010

Customer Complaint Information

Date Complaint Received:	07/09/2010
Complaint Pending?	No
Status:	Settled
Status Date:	11/10/2011
Settlement Amount:	$450,000.00
Individual Contribution Amount:	$0.00

Civil Litigation Information

Type of Court:	State Court
Name of Court:	
Location of Court:	
Docket/Case #:	
Date Notice/Process Served:	
Litigation Pending?	
Broker Statement	THIS LAWSUIT DID NOT ASSERT CLAIMS AGAINST ME. MANY OF THE CLAIMS RAISED IN THIS LAWSUIT WERE RAISED IN AN EARLIER FINRA ARBITRATION AGAINST ME, AND WERE DENIED IN THEIR ENTIRETY. THE SETTLEMENT OF THIS MATTER WAS REACHED BETWEEN THE PLAINTIFFS AND A CORPORATE ENTITY THAT I DO NOT CONTROL. THE MATTER WAS SETTLED WITHOUT ANY ADMISSION OR FINDING OF LIABILITY AGAINST ME, AND WITHOUT PAYMENT OF ANY MONEY ON MY PART.

Disclosure 2 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	GABELLI & COMPANY, INC.
Allegations:	CLAIMANT ALLEGED, AMONG OTHER THINGS, THAT RESPONDENT: VIOLATED SECTION 10(B) OF THE SECURITIES EXCHANGE ACT OF 1934

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	AND RULE 10B-5 THEREUNDER: COMMITTED FRAUD; VIOLATED NASD CONDUCT RULE 2120; AND MADE UNSUITABLE RECOMMENDATIONS AND OVER CONCENTRATED CLAIMANT'S ASSETS IN A PARTNERSHIP WHICH WAS SUBADVISED BY AN INVESTMENT ADVISOR INVOLVED IN A PONZI SCHEME.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	CLAIMANT DOES NOT ALLEGE A SPECIFIC COMPENSATORY DAMAGE AMOUNT.

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	
Status:	
Status Date:	02/13/2009
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	09-00661
Date Notice/Process Served:	02/13/2009
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	11/16/2009
Monetary Compensation Amount:	$200,000.00
Individual Contribution Amount:	$0.00
Broker Statement	THIS MATTER WAS SETTLED WITHOUT AN ADMISSION OF LIABILITY IN ORDER TO AVOID THE TIME AND EXPENSE OF ARBITRATION OR

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LITIGATION. I WAS NOT REQUIRED TO CONTRIBUTE ANY MONIES TO THE SETTLEMENT AMOUNT, WHICH WAS PAID BY THE FIRM AND/OR ITS AFFILIATES.

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Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least $5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	GABELLI & COMPANY, INC.
Allegations:	PLAINTIFFS ALLEGE, AMONG OTHER THINGS, THAT GAMCO ASSET MANAGEMENT INC. ENGAGED IN FRAUDULENT CONDUCT; INTENTIONALLY OR WITH GROSS NEGLIGENCE FAILED TO COMPLY WITH ITS FIDUCIARY DUTY; INVESTED PLAINTIFFS' ASSETS IN UNSUITABLE INVESTMENT VEHICLES; BREACHED AN EXPRESS AND/OR IMPLIED CONTRACT WITH PLAINTIFFS WITH RESPECT TO THEIR ACCOUNTS AND TRANSACTIONS FOR SAID ACCOUNTS.
Product Type:	Direct Investment-DPP & LP Interests Equity-OTC
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	PLAINTIFFS DO NOT ALLEGE A SPECIFIC COMPENSATORY DAMAGE AMOUNT.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	U.S. DISTRICT COURT FOR THE SOUTHERN DISTRICT OF NEW YORK
Docket/Case #:	09 CIV 9396
Filing date of arbitration/CFTC reparation or civil litigation:	11/12/2009

Customer Complaint Information

Date Complaint Received: 11/12/2009

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Complaint Pending?	No
Status:	Withdrawn
Status Date:	05/03/2010
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	PLAINTIFFS VOLUNTARILY DISMISSED THIS ACTION. I WAS NOT NAMED IN THIS FEDERAL ACTION. ALSO, THIS ACTION PERTAINS TO SIMILAR ALLEGATIONS THAT WERE FILED IN A FINRA ARBITRATION COMPLAINT. IN THAT COMPLAINT, THE ARBITRATION PANEL DETERMINED THAT THE CLAIMANT'S CLAIMS WERE DENIED IN THEIR ENTIRETY. ADDITIONALLY, THE PANEL ASSESSED THE CLAIMANT TO PAY ALL HEARING SESSION FEES.

Disclosure 2 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	GABELLI & COMPANY, INC.
Allegations:	[CUSTOMER] WROTE A LETTER CONCERNING A LOSS ALLEGED IN AN INVESTMENT PARTNERSHIP WHICH IN TURN INVESTED IN A FUND MANAGED BY AN OUTSIDE FUND OF FUNDS.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$0.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	03/05/2009
Complaint Pending?	No
Status:	Denied
Status Date:	03/06/2009

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Settlement Amount:

Individual Contribution Amount:

Broker Statement HER CLAIMS ARE NOT ACCURATE AND HAVE NO MERIT.

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End of Report

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