

BrokerCheck Report

GORDON JAMES RIEGER JR

CRD# 1661912

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5
Disclosure Events	6



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.

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.

GORDON J. RIEGER JR

CRD# 1661912

This broker is not currently registered.

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 not currently registered.

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):

B **JHS CAPITAL ADVISORS, LLC**
CRD# 112097
NOVATO, CA

04/2012 - 07/2015

B **PAULSON INVESTMENT COMPANY, INC.**
CRD# 5670
NOVATO, CA

03/1991 - 04/2012

B **SACKS INVESTMENT COMPANY, INC.**
CRD# 16377
04/1987 - 03/1991

Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

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

The following types of disclosures have been reported:

Type	Count
Criminal	2

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

Broker Qualifications



Registrations

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

This broker is not currently registered.

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	07/30/2015
B General Securities Representative Examination	Series 7	04/18/1987

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	12/12/2012
B Uniform Securities Agent State Law Examination	Series 63	12/21/1990

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/.

Broker Qualifications



Professional Designations

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

No information reported.

Registration and Employment History



Registration History

The broker previously was registered with the following securities firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 04/2012 - 07/2015	JHS CAPITAL ADVISORS, LLC	112097	NOVATO, CA
B 03/1991 - 04/2012	PAULSON INVESTMENT COMPANY, INC.	5670	NOVATO, CA
B 04/1987 - 03/1991	SACKS INVESTMENT COMPANY, INC.	16377	

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
04/2012 - Present	JHS CAPITAL ADVISORS, LLC	Mass Transfer	Y	NOVATO, CA, United States

Disclosure Events



What you should know about reported disclosure events:

1. Disclosure events in BrokerCheck reports come from different sources:

- As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory 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.

	Final	On Appeal
Criminal	2	0



Disclosure Event Details

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.

Criminal - Final Disposition

This type of disclosure event involves a conviction or guilty plea for any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property that is currently on appeal.

Disclosure 1 of 2

Reporting Source:	Firm
Court Details:	CIRCUIT COURT, CITY OF RICHMOND, VA N/A
Charge Date:	01/11/1985
Charge Details:	CONSPIRACY TO DISTRIBUTE MORE THAN 5 POUNDS OF MARIJUANA
Felony?	Yes
Current Status:	Final
Status Date:	06/23/1986
Disposition Details:	INCARCERATED FROM JUNE 23, 1986 UNTIL OCTOBER 27, 1986 IN HANOVER, VA COUNTY JAIL.
Firm Statement	MR. RIEGER WAS ALSO CHARGED WITH UNLAWFUL FLIGHT TO AVOID PROSECUTION. THIS WAS DISMISSED IN SAN FRANCISCO, CA ON 11/13/84. HE MOVED TO CALIFORNIA IN JULY OF 1984. BECAUSE THERE WERE NO CHARGES AGAINST HIM UNTIL SEPTEMBER OF 1984. NO UNLAWFUL FLIGHT OCCURED. SEE ATTACHED.

Reporting Source:	Broker
Court Details:	CIRCUIT COURT, CITY OF RICHMOND, VA
Charge Date:	01/11/1985
Charge Details:	CONSPIRACY TO DISTRIBUTE MORE THAN FIVE POUNDS OF MARIJUANA.
Felony?	Yes
Current Status:	Final
Status Date:	06/23/1986
Disposition Details:	INCARCERATED FROM JUNE 23, 1986 UNTIL OCTOBER 27, 1986 IN



HANOVER, VIRGINIA COUNTY JAIL

Disclosure 2 of 2

Reporting Source:	Broker
Court Details:	JUSTICE COURT, COUNTY OF DOUGLAS, STATE OF NEVADA 78-1311
Charge Date:	01/10/1979
Charge Details:	(3 COUNTS) POSSESSION OF A CONTROLLED SUBSTANCE FOR PURPOSE OF SALE, POSSESSION OF A CONTROLLED SUBSTANCE, POSSESSION OF A CONTROLLED SUBSTANCE.
Felony?	Yes
Current Status:	Final
Status Date:	04/25/1979
Disposition Details:	PLEA OF GUILTY TO A MISDEMEANOR OF DISTURBING THE PEACE. \$500.00 FINE.
Broker Statement	COPY OF COMPLAINT IN THE MATTER OF THE STATE OF NEVADA, PLAINTIFF, VS. GORDON JAMES RIEGER DEFENDANT INDICATES RIEGER WAS CHARGED WITH 3 COUNTS FELONY THE FOR THE CRIME OF POSSESSION OF A CONTROLLED SUBSTANCE FOR PURPOSE OF SALE, VIOLATION SEC. 453.337 OF NEVADA REVISED STATUTES; POSSESSION OF A CONTROLLED SUBSTANCE, VIOLATION SEC. 453.336 OF NEVADA REVISED STATUTES; POSSESSION OF A CONTROLLED SUTSTANCE, VIOLATION SEC. 453.336 OF NEVADA REVISED STATUTES ON OR ABOUT THE 29TH DAY OF DECEMBER, 1978. COMPLAINT WAS SWORN ON JANUARY 10, 1979. IN AMENDED COMPLAINT, RIEGER WAS CHARGED WITH THE MISDEMEANOR CRIME OF DISORDERLY CONDUCT, A VIOLATION OF SECTION 9.24.030 OF DOUGLAS COUNTY CODE ON OR ABOUT THE 29TH DAY OF DECEMBER, 1979 IN THAT HE DID WILFULLY AND UNLAWFULLY APPEAR IN A PUBLIC PLACE WITHIN DOUGLAS COUNTY IN SUCH A STATE OF INTOXICATING AS TO BE UNABLE TO CARE FOR HIMSELF, ALL OF WHICH OCCURRED IN TAHOE TOWNSHIP, COUNTY OF DOUGLAS, STATE OF NEVADA. ON 4/25/79, RIEGER VOLUNTARILY ENTERED A PLEA OF GUILTY TO THE MISDEMEANOR CHARGE OF DISBURBING THE PEACE DOUGLAS COUNTY ORDINANCE 9.24.030.

End of Report



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