

BrokerCheck Report

GARY RICHARD MARDER

CRD# 2066933

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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.

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.

**GARY R. MARDER**

CRD# 2066933

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

- B ALEXANDER CAPITAL, L.P.**
 10 DRS JAMES PARKER BLVD
 SUITE 202
 RED BANK, NJ 07701
 CRD# 40077
 Registered with this firm since: 02/03/2016

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
- 11 U.S. states and territories

This broker has passed:

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

Registration History

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

- B MCBARRON CAPITAL LLC**
 CRD# 131431
 New York, NY
 06/2015 - 03/2016
- B BRILL SECURITIES, INC.**
 CRD# 18565
 NEW YORK, NY
 05/2014 - 06/2015
- B ROCKWELL SECURITIES LLC**
 CRD# 142483
 NEW YORK, NY
 12/2013 - 05/2014

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
Termination	1
Financial	1
Judgment/Lien	1



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 11 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **ALEXANDER CAPITAL, L.P.**
 Main Office Address: **10 DRS JAMES PARKER BLVD
 SUITE 202
 RED BANK, NJ 07701**
 Firm CRD#: **40077**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	02/03/2016
B	FINRA	General Securities Representative	Approved	02/03/2016

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	08/15/2016
B	California	Agent	Approved	02/20/2020
B	Connecticut	Agent	Approved	03/03/2016
B	Florida	Agent	Approved	03/20/2024
B	Georgia	Agent	Approved	02/08/2016
B	Michigan	Agent	Approved	02/09/2016
B	New Jersey	Agent	Approved	03/03/2016
B	New York	Agent	Approved	02/24/2016
B	North Carolina	Agent	Approved	02/03/2016
B	Texas	Agent	Approved	03/27/2024
B	Wyoming	Agent	Approved	02/25/2016

Broker Qualifications



Employment 1 of 1, continued

Branch Office Locations

ALEXANDER CAPITAL, L.P.
10 DRS JAMES PARKER BLVD
SUITE 202
RED BANK, NJ 07701



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 1 principal/supervisory exam, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	03/06/1997

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	09/07/1990

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	10/01/1990

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 firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 06/2015 - 03/2016	MCBARRON CAPITAL LLC	131431	New York, NY
B 05/2014 - 06/2015	BRILL SECURITIES, INC.	18565	NEW YORK, NY
B 12/2013 - 05/2014	ROCKWELL SECURITIES LLC	142483	NEW YORK, NY
B 08/2012 - 12/2013	J.P. TURNER & COMPANY, L.L.C.	43177	NEW YORK, NY
B 07/2010 - 09/2012	ARJENT LLC	131431	NEW YORK, NY
B 05/2003 - 07/2010	J.P. TURNER & COMPANY, L.L.C.	43177	NEW YORK, NY
B 02/2003 - 06/2003	FIRST MONTAUK SECURITIES CORP.	13755	RED BANK, NJ
B 09/2001 - 02/2003	KIRLIN SECURITIES INC.	21210	SYOSSET, NY
B 03/1995 - 09/2001	M.S. FARRELL & COMPANY, INC.	24232	SYOSSET, NY
B 09/1994 - 12/1994	M.S. FARRELL & COMPANY, INC.	24232	
B 02/1994 - 08/1994	STUART, COLEMAN & CO., INC.	8642	NEW YORK, NY
B 07/1993 - 12/1993	DUKE & CO., INC.	8035	NEW YORK, NY
B 06/1992 - 07/1993	LADENBURG, THALMANN & CO., INC.	505	NEW YORK, NY
B 12/1991 - 06/1992	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
B 09/1990 - 12/1991	PAINWEBBER INCORPORATED	8174	WEEHAWKEN, NJ

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
02/2016 - Present	alexander capital lp	registered rep	Y	new york, NY, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
12/2013 - 02/2016	ROCKWELL SECURITIES LLC	BROKER	Y	NEW YORK, 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.

G.R. Marder & Co. LLC 17 Stuyvesant Oval 5-G. Self Employed Boxing and Kick Boxing Trainer. Not Investment Related.

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.
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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
Termination	N/A	1	N/A
Financial	0	1	N/A
Judgment/Lien	1	N/A	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure 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 - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	DUKE & CO., INC.
Allegations:	UNAUTHORIZED TRADING; BRCH OF FIDUCIARY DT; ACCOUNT RELATED-NEGLIGENCE; ACCOUNT RELATED - FAILURE TO SUPERVISE
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$17,870.92
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #94-01073
Date Notice/Process Served:	04/08/1994
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	02/14/1995
Disposition Detail:	RESPONDENTS SHALL BE AND HEREBY ARE JOINTLY AND SEVERALLY LIABLE FOR AND SHALL PAY TO THE CLAIMANT DAMAGES IN THE SUM OF \$7,500.00.



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: DUKE & CO., INC.

Allegations: UNAUTHORIZED PURCHASE OF 5,000 SHARES OF ATARI STOCK. CLAIMANT ASKED FOR COMPENSATORY DAMAGES OF \$17,870.92, PUNITIVE DAMAGES OF \$57,096.56 ATTORNEY FEES OF \$19,984.15 AND COSTS AND DISBURSEMENTS.

Product Type:

Alleged Damages: \$17,870.92

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 94-01073

Date Notice/Process Served: 04/08/1994

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 02/14/1995

Monetary Compensation Amount: \$7,500.00

Individual Contribution Amount:

Broker Statement BROKER AND BROKER FIRM HELD JOINTLY LIABLE TO CLAIMANT FOR \$7,500.00, INTEREST ATTORNEY FEES AND PUNITIVE DAMAGES DENIED AS WELL AND COSTS & DISBURSEMENTS, BROKER & BROKERAGE FIRM ALSO HELD LIABLE FOR \$500.00. ADDITIONAL FORUM



FEES AND FOR REIMBURSEING CLAIMANT FOR \$650.00. DEPOSIT AS
FILING FEE.
ALL TRADES DONE WITH CLIENT WERE AUTHORIZED BY
CLIENT [CUSTOMER]. AFTER I LEFT THE FIRM OF DUKE & CO,
COMPLAINTS WERE SOLICITED BY BROKERS LOOKING TO KEEP MY
CLIENTS
OF DUKE. [CUSTOMER] HAD A LOSS AND WAS TOLD HE IF HE SENDS IN A
COMPLAINT HE WOULD BE WOULD BE REINBURSED FOR THE LOSS.



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:

Allegations: SUITABILITY RELATIVE TO MARGIN AND UNAUTHORIZED TRADES. IN THE AMOUNT OF \$90,000

Product Type:

Alleged Damages: \$90,000.00

Customer Complaint Information

Date Complaint Received: 03/27/1997

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$25,000.00

Individual Contribution Amount:

Broker Statement FIRM SETTLED CASE FOR \$25,000
I VIGOROUSLY DENY ALL ALLEGATIONS AGAINST ME AND SEALED WITH THE CUSTOMER AT MY EMPLOYERS REQUEST.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: ALLEGEDLY MISQUOTED EXECUTION PRICES OF ORDERS AND AGGRESSIVE SALES TECHNIQUE, AND NOT INFORMING CLIENT OF MARGIN STATUS.



Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 04/10/1992

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$12,000.00

Individual Contribution Amount: \$12,000.00

Firm Statement ADJUSTMENT OF ACCOUNT TO REINSTATE LIQUIDATED SECURITIES PER CLIENT'S INSTRUCTION. THE ADJUSTMENT COST WAS \$12,000.00.
MR. MARDER VOLUNTARILY PAID THE ENTIRE COST OF ADJUSTING CLIENT'S ACCOUNT TO WHERE IT WAS PRIOR TO LIQUIDATION, ALTHOUGH HE DISPUTED THE CLAIM, HE CLAIMED ALL ORDERS WERE AUTHORIZED BY CLIENT IN ADVANCE AND MISQUOTES WERE DUE TO UNFAMILIARITY WITH OPERATIONAL PROCEDURES. MATTER WAS SETTLED FOR BUSINESS REASONS. NO OPTIONS OR COMMODITIES CONTACT
PERSON - JONATHAN MORRIS - LEGAL (212) 230-3678

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint:

Allegations: ALLEGEDLY MISQUOTED EXECUTION PRICES OF ORDERS AND AGGRESSIVE SALES TECHNIQUES AND NOT INFORMING CLIENT OF MARGIN STATUS.

Product Type:

Alleged Damages:

Customer Complaint Information



Date Complaint Received: 04/10/1992

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$12,000.00

Individual Contribution Amount: \$12,000.00

Broker Statement

ADJUSTMENT OF ACCOUNT TO REINSTATE LIQUIDATED SECURITIES PER CLIENT'S INSTRUCTION FOR \$12,000.00 MR. MARDER VOLUNTARILY PAID THE ENTIRE COST OF ADJUSTING CLIENT'S ACCOUNT TO WHERE IT WAS PRIOR TO LIQUIDATION, ALTHOUGH HE DISPUTED THE CLAIM. HE CLAIMED ALL ORDERS WERE AUTHORIZED BY CLIENT IN ADVANCE AND MISQUOTES WERE DUE TO UN-FAMILIARITY WITH OPERATIONAL PROCEDURES. MATTER WAS SETTLED FOR BUSINESS REASONS.



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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	J.P. TURNER & COMPANY LLC
Allegations:	CLIENT ALLEGES UNSUITABILITY AND FAILURE TO FOLLOW INSTRUCTIONS.
Product Type:	No Product
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO ALLEGED COMPENSATORY DAMAGES SPECIFIED BUT BELIEVED TO BE MORE THAN \$5000.00.
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:	03/04/2014
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	03/16/2014
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Broker
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Employing firm when activities occurred which led to the complaint:	ROCKWELL SECURITIES LLC
Allegations:	CLIENT ALLEGES UNSUITABILITY AND FAILURE TO FOLLOW INSTRUCTIONS
Product Type:	No Product
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO ALLEGED DAMAGES SPECIFIED BUT IT IS BELIEVED TO BE MORE THAN \$5000.00.
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:	03/04/2014
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	03/19/2014
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE ACCOUNT WAS MAINTAINED AT THE ROCKWELL SECURITIES LLC FOR 30 DAYS, DURING THAT TIME WE FOUND NO WRONG DOING BY MR. MARDER.



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Broker
Employer Name:	SHEARSON LEHMAN BROTHERS
Termination Type:	Permitted to Resign
Termination Date:	05/07/1992
Allegations:	N/A SHEARSON ALLEGES THAT I RECOMMENDED LOW PRICED STOCKS WHICH WAS INCONSISTENT WITH THEIR PHILOSOPHY & THAT I HAD CUSTOMER COMPLAINTS.
Product Type:	
Other Product Types:	
Broker Statement	PERMITTED TO RESIGN. MY RECOMMENDATIONS WERE IN ADDITION TO SHEARSON'S RECOMMENDATIONS. AT TIMES THESE WERE LOWER PRICED STOCKS.



Financial - Final

This type of disclosure event involves a bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation involving the broker or an organization/brokerage firm the broker controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Broker
Action Type:	Compromise
Action Date:	06/20/2016
Organization Investment-Related?	
Type of Court:	N/A
Name of Court:	
Location of Court:	
Docket/Case #:	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	09/09/2016
If a compromise with creditor, provide:	
Name of Creditor:	CAPITAL ONE BANK
Original Amount Owed:	\$1,534.16
Terms Reached with Creditor:	\$1250.00 AGREED TO PAY \$150.00 PER MONTH QUESTION6 WAS MARKED IN ERROR .NO TRUSTEE WAS APPOINTED
Amount Paid:	\$1,255.00
SIPA (Securities Investor Protection Act)Trustee:	N/A
Currently Open?	No
Date Direct Payment Initiated/Filed or Trustee Appointed:	09/09/2016
Broker Statement	QUESTION 6 AND 9 WERE ANSWERED IN ERROR ..NO SIPA TRUSTEE WAS



APPOINTED,comprise satisfied in full 9/9/2016



Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 1

Reporting Source:	Broker
Judgment/Lien Holder:	McBarron Capital LLC f/k/a Arjent LLC
Judgment/Lien Amount:	\$18,601.68
Judgment/Lien Type:	Civil
Date Filed with Court:	08/25/2016
Date Individual Learned:	08/26/2016
Type of Court:	State Court
Name of Court:	Supreme Court of the State of New York
Location of Court:	New York State New York County
Docket/Case #:	650610/2016
Judgment/Lien Outstanding?	Yes

End of Report



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