BrokerCheck Report

MARIO JOSEPH GABELLI

CRD# 216136

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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.

MARIO J. GABELLI

CRD# 216136

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

IA **GAMCO ASSET MANAGEMENT INC.**
ONE CORPORATE CENTER
RYE, NY 10580
CRD# 104950
Registered with this firm since: 05/14/1990

B **G.RESEARCH, LLC**
ONE CORPORATE CENTER
RYE, NY 10580-1435
CRD# 7353
Registered with this firm since: 05/01/2026

B **G.DISTRIBUTORS, LLC**
ONE CORPORATE CENTER
RYE, NY 10580-1435
CRD# 155071
Registered with this firm since: 01/24/2020

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
- 2 U.S. states and territories

This broker has passed:

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

Registration History

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

B **G.RESEARCH, LLC**
CRD# 7353
RYE, NY
02/1977 - 12/2019

B **DREXEL BURNHAM LAMBERT INCORPORATED**
CRD# 7323
01/1977 - 02/1977

B **WILLIAM D. WITTER, INC.**
CRD# 3789
08/1975 - 01/1977

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
Regulatory Event	1

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

Employment 1 of 3

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	01/24/2020

	U.S. State/ Territory	Category	Status	Date
B	Connecticut	Agent	Approved	07/09/2025
B	New York	Agent	Approved	03/04/2020

Branch Office Locations

G.DISTRIBUTORS, LLC
ONE CORPORATE CENTER
RYE, NY 10580-1435

Employment 2 of 3

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

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

Firm CRD#: **7353**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	05/01/2026

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Broker Qualifications

Employment 2 of 3, continued

Branch Office Locations

G.RESEARCH, LLC
ONE CORPORATE CENTER
RYE, NY 10580-1435

Employment 3 of 3

Firm Name: **GAMCO ASSET MANAGEMENT INC.**

Main Office Address: **191 MASON STREET**
GREENWICH, CT 06830

Firm CRD#: **104950**

	U.S. State/ Territory	Category	Status	Date
IA	Connecticut	Investment Adviser Representative	Approved	01/28/2000

Branch Office Locations

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 2 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam		Category	Date
B	Financial Principal Examination	F04	12/30/1976
B	Registered Principal Examination	Series 40	02/07/1972

General Industry/Product Exams

Exam		Category	Date
B	General Securities Representative Examination	Series 7TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Registered Representative Examination	Series 1	12/29/1967

State Securities Law Exams

Exam		Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	05/28/1991

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 **1** professional designation(s).

Chartered Financial Analyst

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	02/1977 - 12/2019	G.RESEARCH, LLC	7353	RYE, NY
B	01/1977 - 02/1977	DREXEL BURNHAM LAMBERT INCORPORATED	7323	
B	08/1975 - 01/1977	WILLIAM D. WITTER, INC.	3789	
B	01/1968 - 04/1975	LOEB RHOADES AND CO	1000002	

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
05/2015 - Present	ASSOCIATED CAPITAL GROUP, INC.	EXECUTIVE CHAIRMAN	Y	Greenwich, CT, United States
12/2010 - Present	LICT CORPORATION	CHAIRMAN OF THE BOARD AND CHIEF EXECUTIVE OFFICER	N	RYE, NY, United States
11/2007 - Present	CIBL, INC.	Executive Chairman and Principle Executive Officer	N	RYE, NY, United States
02/2002 - Present	GABELLI ASSOCIATES FUND II, LP	CHIEF INVESTMENT OFFICER	Y	RYE, NY, United States
12/2001 - Present	THE MORGAN GROUP HOLDINGS CO.	CHAIRMAN	N	RYE, NY, United States
02/1999 - Present	GAMCO INVESTORS, INC.	CEO, CHAIRMAN	Y	RYE, NY, United States
08/1990 - Present	MJG ASSOCIATES, INC.	President	Y	GREENWICH, CT, United States
07/1989 - Present	GABELLI ASSOCIATES LIMITED	CHIEF INVESTMENT OFFICER	Y	GRAND CAYMAN, Cayman Islands

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Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
01/1989 - Present	GABELLI INTERNATIONAL LIMITED	CHAIRMAN, CIO	Y	GRAND CAYMAN, Cayman Islands
08/1986 - Present	GABELLI PERFORMANCE PARTNERSHIP, L.P.	GENERAL PARTNER, CIO	Y	GREENWICH, CT, United States
08/1986 - Present	VARIOUS GAMCO/GABELLI REGISTERED INVESTMENT COMPANIES	CHAIRMAN, TRUSTEE, PORTFOLIO MANAGER	Y	RYE, NY, United States
01/1986 - Present	GABELLI FUNDS, LLC	CHIEF INVESTMENT OFFICER FOR VALUE PORTFOLIOS	Y	RYE, NY, United States
01/1985 - Present	GABELLI ASSOCIATES FUND, LP	CIO, GENERAL PARTNER	Y	RYE, NY, United States
12/1980 - Present	GGCP, INC.	CEO AND DIRECTOR	Y	GREENWICH, CT, United States
08/1978 - Present	GAMCO ASSET MANAGEMENT INC.	CEO, CIO & CHAIRMAN	Y	RYE, NY, United States
11/1976 - Present	G.RESEARCH, LLC	REGISTERED REPRESENTATIVE	Y	RYE, NY, United States
03/2009 - 02/2017	TETON ADVISORS, INC.	PORTFOLIO MANAGER	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.

(1) MJG-IV LIMITED PARTNERSHIP - 140 GREENWICH AVE, GREENWICH, CT 06830; FAMILY PARTNERSHIP; GENERAL PARTNER; START DATE 1984; DEVOTES TIME NECESSARY TO EXECUTE ALL FUNCTIONS THAT ARE REQUIRED; DUTIES AS DIRECTED BY LIMITED PARTNERSHIP AGREEMENT.

(2) MJG MANAGEMENT LLC - 140 GREENWICH AVE, GREENWICH, CT 06830; LIMITED LIABILITY CORPORATION; MEMBER; START DATE 1999; DEVOTES TIME NECESSARY TO EXECUTE ALL FUNCTIONS THAT ARE REQUIRED; RESPONSIBILITIES AS DIRECTED BY THE OPERATING AGREEMENT.

(3) GGCP HOLDINGS, LLC - INVESTMENT RELATED; 140 GREENWICH AVE, GREENWICH, CT 06830; LIMITED LIABILITY CORPORATION; MEMBER; START DATE MAY 5, 2010; DEVOTES TIME NECESSARY TO EXECUTE ALL FUNCTIONS THAT ARE REQUIRED;

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Registration and Employment History

Other Business Activities, continued

RESPONSIBILITIES AS DIRECTED BY THE OPERATING AGREEMENT.

(4) CIBL, INC. - 165 WEST LIBERTY STREET, SUITE 210, RENO, NV 89501; HOLDING COMPANY; CHAIRMAN & CONTROLLING SHAREHOLDER; START DATE NOVEMBER 19, 2007; DEVOTES TIME NECESSARY TO EXECUTE ALL FUNCTIONS THAT ARE REQUIRED; DUTIES AS DIRECTED BY THE BY-LAWS AND BOARD OF DIRECTORS.

(5) GGCP, INC., FORMERLY (PRIOR TO FEBRUARY 1999) GABELLI FUNDS, INC. -- 140 GREENWICH AVE, GREENWICH, CT 06830; PRIVATE COMPANY; CHIEF EXECUTIVE OFFICER, DIRECTOR, CONTROLLING SHAREHOLDER; START DATE OCTOBER 1976; DEVOTES TIME NECESSARY TO EXECUTE ALL FUNCTIONS THAT ARE REQUIRED; DUTIES AS DIRECTED BY THE BY-LAWS AND BOARD OF DIRECTORS.

(6) GPJ RETIREMENT LLC - ONE CORPORATE CENTER, RYE, NY 10580; LIMITED LIABILITY CORPORATION; MEMBER; START DATE 2005; DEVOTES TIME NECESSARY TO EXECUTE ALL FUNCTIONS THAT ARE REQUIRED; DUTIES AS DIRECTED BY THE OPERATING AGREEMENT.

(7) LICT CORPORATION - 401 THEODORE FREMD AVENUE, RYE, NY 10580; PUBLIC COMPANY; CHIEF EXECUTIVE OFFICER & CHAIRMAN; START DATE SEPTEMBER 2009; DEVOTES TIME NECESSARY TO EXECUTE ALL FUNCTIONS THAT ARE REQUIRED; RESPONSIBILITIES AS DIRECTED BY THE BY-LAWS AND BOARD OF DIRECTORS, AND AS NECESSARY FOR POSITION.

(8)TETON ADVISORS, INC. - ONE CORPORATE CENTER, RYE, NY 10580; ASSET MANAGEMENT COMPANY; PORTFOLIO MANAGER; START DATE MARCH 2, 1998; DEVOTES TIME NECESSARY TO EXECUTE ALL FUNCTIONS THAT ARE REQUIRED; RESPONSIBILITIES AS NECESSARY FOR POSITION.

(9) MORGAN GROUP HOLDINGS CO. - 401 THEODORE FREMD AVENUE, RYE, NY 10580; CHAIRMAN; PUBLIC HOLDING COMPANY; START DATE 2001; DEVOTES TIME NECESSARY TO EXECUTE ALL FUNCTIONS THAT ARE REQUIRED; RESPONSIBILITIES AS DIRECTED BY BY-LAWS AND BOARD OF DIRECTORS, AND AS NECESSARY FOR POSITION.

(10) MJG ASSOCIATES, INC. - 140 GREENWICH AVE, GREENWICH, CT 06830; INVESTMENT MANAGEMENT COMPANY; SOLE SHAREHOLDER & EXECUTIVE OFFICER; START DATE AUGUST 1, 1990; DEVOTES TIME NECESSARY TO EXECUTE ALL FUNCTIONS THAT ARE REQUIRED; RESPONSIBILITIES AS NECESSARY FOR POSITION.
(11) Foreign Policy Association, non investment related, Headquartered at 551 Fifth Ave, Suite 3000, NY,NY 10176, Director, February 26 2020 start date, meetings of the Board occur twice a year, develop awareness, understanding and informed opinion on US foreign policy and global issues.

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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
Regulatory Event	0	1	0

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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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/24/1988
Docket/Case Number:	Unknown
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Consent
Resolution Date:	08/24/1988
Regulator Statement	9/1/88-SEC NEWS DIGEST ISSUE 88-163, DATED AUGUST 24, 1988 - ADMINISTRATIVE PROCEEDINGS DISCLOSES: `ORDER ISSUED AGAINST

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THE
GABELLI GROUP, INC., OTHERS'; THE COMMISSION ISSUED AN ORDER INSTITUTING PROCEEDINGS UNDER STCTION 15(c)(4) OF THE SECURITIES EXCHANGE ACT OF 1934 AND SECTION 9(b)(2) OF THE INVESTMENT COMPANY ACT OF 1940 AND FINDINGS, OPINION AND ORDER OF THE COMMISSION (ORDER) AGAINST THE GABELLI GROUP, INC., GABELLI-ROSENTHAL & PARTNERS, L.P., G & R PARTNERS, GABELLI FUNDS, INC., GAMCO INVESTORS, INC., AND MARIO J. GABELLI. THE COMMISSION FOUND THAT RESPONDENTS FAILED TO COMPLY, AND THAT MARIO GABELLI CAUSED THE OTHER RESPONDENTS' FAILURE TO COMPLY,
WITH SECTION 13(d) OF THE EXCHANGE ACT AND RULE 13d-1 IN CONNECTION WITH AN ATTEMPT TO PURSUE A LEVERAGED BUYOUT OF DIGIORGIO CORPORATION. THE COMMISSION FURTHER FOUND THAT RESPONDENTS, OTHER THAN MARIO GABELLI, WILLFULLY VIOLATED SECTION 17(d) OF THE INVESTMENT COMPANY ACT AND RULE 17d-1. EACH RESPONDENT CONSENTED TO THE ORDER WITHOUT ADMITTING OR
DENYING ANY OF THE MATTERS SET FORTH IN THE OPINION AND FINDINGS THEREIN. (REL. 34-26005)

Reporting Source:	Broker
Regulatory Action Initiated By:	SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	Undertaking
Date Initiated:	08/17/1988
Docket/Case Number:	3-7040
Employing firm when activity occurred which led to the regulatory action:	GABELLI & COMPANY, INC.
Product Type:	No Product
Allegations:	ALLEGATIONS OF FAILURE TO COMPLY WITH SECTION 13(D) OF THE SECURITIES EXCHANGE ACT OF 1934 ("EXCHANGE ACT") AND RULE 13D-1 THEREUNDER.
Current Status:	Final
Resolution:	Settled

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Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	08/17/1988
Sanctions Ordered:	Other: RETAIN COUNSEL TO REVIEW EXISTING PROCEDURES AND MAKE RECOMMENDATIONS TO STRENGTHEN COMPLIANCE WITH SECTION 13(D)AND RULE 13(D)-1 OF THE EXCHANGE ACT

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End of Report

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