

BrokerCheck Report

JOHN CHARLES GARDINI

CRD# 2408960

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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.

**JOHN C. GARDINI**

CRD# 2408960

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

IA PARTNERS CAPITAL SERVICES, INC.
 205 OSER AVE
 HAUPPAUGE, NY 11788
 CRD# 127621
 Registered with this firm since: 02/07/2006

B AMERICAN CAPITAL PARTNERS, LLC
 205 OSER AVE
 HAUPPAUGE, NY 11788
 CRD# 119249
 Registered with this firm since: 06/24/2003

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:**

- 2 Self-Regulatory Organizations
- 10 U.S. states and territories

This broker has passed:

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

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

- B JULIUS BAER SECURITIES INC.**
 CRD# 1141
 NEW YORK, NY
 02/1998 - 07/2003
- B IAR SECURITIES CORP.**
 CRD# 5155
 NEW YORK, NY
 10/1997 - 01/1998
- B ASH & CO. INCORPORATED**
 CRD# 24990
 GREAT NECK, NY
 06/1997 - 11/1997

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? **No**



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 2 SROs and is licensed in 10 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **AMERICAN CAPITAL PARTNERS, LLC**

Main Office Address: **205 OSER AVE.
HAUPPAUGE, NY 11788**

Firm CRD#: **119249**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	06/24/2003
B	FINRA	General Securities Representative	Approved	06/24/2003
B	FINRA	Registered Options Principal	Approved	12/15/2006
B	FINRA	Investment Banking Representative	Approved	02/02/2010
B	FINRA	Operations Professional	Approved	11/28/2011
B	FINRA	Municipal Securities Principal	Approved	12/21/2012
B	FINRA	Municipal Securities Representative	Approved	12/21/2012
B	FINRA	Compliance Officer	Approved	10/01/2018
B	FINRA	Investment Banking Principal	Approved	10/01/2018
B	Nasdaq Stock Market	General Securities Principal	Approved	09/08/2006
B	Nasdaq Stock Market	General Securities Representative	Approved	09/08/2006

	U.S. State/ Territory	Category	Status	Date
B	Illinois	Agent	Approved	10/26/2005
B	Indiana	Agent	Approved	05/24/2007



Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	New Mexico	Agent	Approved	05/24/2007
B	New York	Agent	Approved	06/24/2003
B	Oklahoma	Agent	Approved	04/27/2006

Branch Office Locations

AMERICAN CAPITAL PARTNERS, LLC
 205 OSER AVE
 HAUPPAUGE, NY 11788

Employment 2 of 2

Firm Name: **PARTNERS CAPITAL SERVICES, INC.**
 Main Office Address: **205 OSER AVE**
HAUPPAUGE, NY 11788
 Firm CRD#: **127621**

	U.S. State/ Territory	Category	Status	Date
IA	Connecticut	Investment Adviser Representative	Approved	02/07/2006
IA	Florida	Investment Adviser Representative	Approved	10/19/2009
IA	Illinois	Investment Adviser Representative	Approved	12/04/2008
IA	New York	Investment Adviser Representative	Approved	04/06/2021
IA	Pennsylvania	Investment Adviser Representative	Approved	09/12/2006
IA	South Carolina	Investment Adviser Representative	Approved	03/28/2007
IA	Washington	Investment Adviser Representative	Approved	08/04/2006

Broker Qualifications



Employment 2 of 2, continued Branch Office Locations

205 OSER AVE
HAUPPAUGE, NY 11788



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 4 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Compliance Officer Examination	Series 14	01/02/2023
B Municipal Securities Principal Examination	Series 53	12/20/2012
B Registered Options Principal Examination	Series 4	12/14/2006
B General Securities Principal Examination	Series 24	12/23/1996

General Industry/Product Exams

Exam	Category	Date
B Municipal Securities Representative Examination	Series 52TO	09/25/2025
B Operations Professional Examination	Series 99TO	01/02/2023
B Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	10/06/1993

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	02/01/2006
B Uniform Securities Agent State Law Examination	Series 63	01/28/1994

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 02/1998 - 07/2003	JULIUS BAER SECURITIES INC.	1141	NEW YORK, NY
B 10/1997 - 01/1998	IAR SECURITIES CORP.	5155	NEW YORK, NY
B 06/1997 - 11/1997	ASH & CO. INCORPORATED	24990	GREAT NECK, NY
B 04/1997 - 06/1997	H.J. MEYERS & CO., INC.	15609	ROCHESTER, NY
B 11/1996 - 04/1997	INVESTORS ASSOCIATES, INC.	958	HACKENSACK, NJ
B 10/1993 - 05/1996	LEW LIEBERBAUM & CO., INC.	17341	GARDEN CITY, 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
06/2003 - Present	AMERICAN CAPITAL PARTNERS	COMPLIANCE OFFICER	Y	HAUPPAUGE, 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.

Anthony Associates, Inc. / President - Owner, real estate non-investment related business since 05/2004;

Partners Capital Services, Inc., an investment advisor co. - Director of Compliance since 10/2006;

JCG Associates, Inc.- non-investment related, personal service corporation;

ACP Venture Capital Fund LLC - a special purpose investment vehicle, manager since 08/2017, investment related;

ACP Venture Capital Management Fund LLC - member manager of the special purpose investment vehicle since 08/2017, investment related;

Registration and Employment History



Other Business Activities, continued

Palm Harbor Management LLC - real estate, non-investment related business since 04/2017;

Juniper One LLC - Member; passive investment, holding company, investment related;

Sundance Drive Management LLC - real estate, non-investment related business since 07/2020;

East Palm Harbor Management LLC - real estate, non-investment related business since 10/2021

Mr. Gardini devotes less than 25hrs per month in the aggregate to the outside business activities disclosed above.

End of Report



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