



IAPD Report

PETER RICHARD GARDINER

CRD# 1297370

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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.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

PETER RICHARD GARDINER (CRD# 1297370)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **08/01/2022**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	THE INVESTMENT HOUSE LLC	CRD# 163493	11/07/2012

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	MERRIMAN ASSET MANAGEMENT, INC.	158605	SAN FRANCISCO, CA	05/22/2012 - 07/10/2012
B	ONYX PARTNERS, INCORPORATED	29474	LAS VEGAS, NV	11/09/1995 - 11/04/1997
B	DREXEL BURNHAM LAMBERT INCORPORATED	7323	LAS VEGAS, NV	11/18/1985 - 03/02/1988

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

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

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	2
Civil Event	1




Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **THE INVESTMENT HOUSE LLC**
Main Address: 210 AVENUE I
STE C
REDONDO BEACH, CA 90277
Firm ID#: 163493

Regulator	Registration	Status	Date
 California	Investment Adviser Representative	Approved	11/07/2012

Branch Office Locations

THE INVESTMENT HOUSE LLC
Venice, CA



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 1 general industry/product exam, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B General Securities Representative Examination (S7)	Series 7	03/26/2012
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State Securities Law Exams

Exam	Category	Date
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IA B Uniform Combined State Law Examination (S66)	Series 66	05/21/2012
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B Uniform Securities Agent State Law Examination (S63)	Series 63	06/13/1994
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PROFESSIONAL DESIGNATIONS

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

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	05/22/2012 - 07/10/2012	MERRIMAN ASSET MANAGEMENT, INC.	CRD# 158605	SAN FRANCISCO, CA
B	11/09/1995 - 11/04/1997	ONYX PARTNERS, INCORPORATED	CRD# 29474	LAS VEGAS, NV
B	11/18/1985 - 03/02/1988	DREXEL BURNHAM LAMBERT INCORPORATED	CRD# 7323	
B	08/21/1984 - 06/21/1985	CRESVALE INTERNATIONAL, INC.	CRD# 10813	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2012 - Present	THE INVESTMENT HOUSE LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	LOS ANGELES, CA, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	2
Civil Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: TEXAS STATE SECURITIES BOARD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 04/12/1996

Docket/Case Number: DOR-1099

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: Not Provided

Current Status: Final

Resolution: Order

Resolution Date: 04/12/1996

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: ON APRIL 12, 1996, THE SECURITIES COMMISSIONER ENTERED AN ADMINISTRATIVE ORDER AGAINST PETER RICHARD GARDINER.



RESPONDENT FAILED TO PROVIDE INFORMATION REQUESTED BY THE SECURITIES COMMISSIONER. PURSUANT TO SECTION 14.A(7) OF THE SECURITIES ACT AN EXPARTE ORDER WAS ENTERED TO DENY AGENT REGISTRATION WITH THIS AGENCY.

Regulator Statement

CONTACT: JOYCE MILLER (512) 305-8390

Reporting Source: Individual
Regulatory Action Initiated By: SEE REVERSE

Sanction(s) Sought:
Other Sanction(s) Sought:

Date Initiated: 04/12/1996
Docket/Case Number: DOR-1099

Employing firm when activity occurred which led to the regulatory action:

Product Type:
Other Product Type(s):

Allegations: N/A
Current Status: Final
Resolution: Order
Resolution Date: 04/12/1996
Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:
Sanction Details: Not Provided
Broker Statement Not Provided

Disclosure 2 of 2

Reporting Source: Regulator
Regulatory Action Initiated By: SECURITIES AND EXCHANGE COMMISSION

Sanction(s) Sought:
Other Sanction(s) Sought:

Date Initiated: 04/02/1991
Docket/Case Number: Unknown

Employing firm when activity occurred which led to the regulatory action: DREXEL BURNHAM LAMBERT INC.

Product Type:
Other Product Type(s):



Allegations:

Current Status: Final

Resolution: Consent

Resolution Date: 04/02/1991

Sanctions Ordered: Bar

Other Sanctions Ordered:

Sanction Details:

Regulator Statement

[TOP] +4/17/91+ SEC NEWS DIGEST, ISSUE 91-63, 4/2/91: SEC INSTITUTED PROCEEDINGS AGAINST PETER R. GARDINER, FORMER EMPLOYEE OF THE HIGH YIELD AND CONVERTIBLE BOND DEPARTMENT OF DREXEL BURNHAM LAMBERT INC., AN SEC REGISTERED BROKER-DEALER GARDINER SUBMITTED A SETTLEMENT OFFER CONSENTING TO FINDINGS THAT, WITHOUT ADMITTING OR DENYING ALLEGATIONS OF THE COMPLAINT, ON 3/27/91 GARDINER WAS PERMANENTLY ENJOINED BY THE U.S. DISTRICT COURT FOR THE SOUTHERN DISTRICT OF NEW YORK [SEC V. PETER R. GARDINER, 91 CIV. 2091 (MP)] FROM VIOLATING OR AIDING AND ABETTING VIOLATIONS OF ANTIFRAUD AND OTHER PROVISIONS OF THE FEDERAL SECURITIES LAWS, INCLUDING: SECT. 7(c), 7(f), 8(a), 9(a)(2), 10(b) & 17(a)(1) OF THE EXCHANGE ACT AND RULES 10b-5, 10b-6, 17a-3, & 17a-4, AND REGULATIONS T AND X THEREUNDER, AND SECT. 17(a) OF THE SECURITIES ACT OF 1933. THE ORDER PERMANENTLY BARS GARDINER FROM ASSOCIATION WITH ANY BROKER, DEALER, INVESTMENT ADVISER, INVESTMENT COMPANY, OR MUNICIPAL SECURITIES DEALER, WITH THE PROVISION THAT, AFTER 3 YEARS, HE MAY APPLY TO THE APPROPRIATE SELF-REGULATORY ORGANIZATION OR TO THE SEC, TO BECOME ASSOCIATED IN THE ABOVE CAPACITIES. (REL. 34-29019) 11-14-95-SEC NEWS DIGEST ISSUE # 95-218, 11/13/95: ON 11/9, SEC ISSUED A DECLARATORY ORDER REGARDING ASSOCIATION OF GARDINER AS A REGISTERED REPRESENTATIVE WITH ONYX PARTNERS, INC., A NASD MEMBER. BASED ON REPRESENTATION REGARDING SUPERVISION AND TERMS OF HIS ASSOCIATION, THE SEC WILL NOT INSTITUTE PROCEEDINGS PURSUANT TO SECTIONS 15(B) OR 19(H) OF THE EXCHANGE ACT AND WILL NOT DIRECT NASD TO BAR THE PROPOSED ASSOCIATION PURSUANT TO SECTION 15A(G)(2). THE ORDER GRANTING CONSENT TO THE ASSOCIATION IS NECESSARY BECAUSE GARDINER IS SUBJECT TO A 1991 ORDER BARRING HIM FROM ASSOCIATION WITH ANY BROKER, DEALER, INVESTMENT COMPANY, INVESTMENT ADVISER OR MUNICIPAL SECURITIES DEALER, WITH A PROVISION THAT HE MAY APPLY TO BECOME SO ASSOCIATED AFTER 3 YEARS. REL. 34-36472

Reporting Source: Individual

Regulatory Action Initiated By: SECURITIES AND EXCHANGE COMMISSION

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 04/02/1991

Docket/Case Number: Unknown



Employing firm when activity occurred which led to the regulatory action: DREXEL BURNHAM LAMBERT INC.

Product Type:

Other Product Type(s):

Allegations: "VIOLATED AND AIDED AND ABETTED VIOLATIONS OF SECTIONS 7(C), 7(F), 8(A), 9(A), 10(B), AND 17(A)(1) OF THE SECURITIES AND EXCHANGE ACT OF 1934... AND RULES 10B-5, 10B-6, 17A-3 AND 17A-4 AND REGULATIONS T & X PROMULGATED THEREUNDER AND SECTION 17(A) OF THE SECURITIES ACT OF 1933 IN CONNECTION WITH CERTAIN SECURITIES TRANSACTIONS CARRIED OUT... DURING (MY) EMPLOYMENT AT DREXEL BURNHAM LAMBERT, INCORPORATED." (A COPY OF THE ORDER IS ATTACHED AND INCORPORATED HEREIN)

Current Status: Final

Resolution: Consent

Resolution Date: 04/02/1991

Sanctions Ordered: Bar

Other Sanctions Ordered:

Sanction Details: "WITHOUT ADMITTING OR DENYING THE ALLEGATIIONS OF THE COMPLAINT, EXCEPT AS TO THE JURISDICTION OF THE COURT": A BAR FROM ASSOCIATION WITH ANY BROKER DEALER, ETC., PROVIDING THAT I MAY RE-APPLY FOR ASSOCIATION AFTER THREE YEARS FROM ENTRY OF ORDER. (A COPY OF THE ORDER OF THE SEC IS ATTACHED AND INCORPORATED HEREIN.)

Broker Statement SETTLEMENT OF COMPLAINT MADE AFTER AGREEMENT TO COOPERATE IN FEDERAL CRIMINAL ACTION AGAINST MILKEN, ET AL. (MAY 1990) *****7/10/95< REQ'D AMENDED PG. 3 REC'D FROM ONYX PARTNERS, INCORPORATED WITH QUESTION 22N1 ANSWERED "NO."*****



Civil Event

This disclosure event involves an injunction issued by a foreign or domestic court in connection with investment-related activity, a finding by a domestic or foreign court of a violation of any investment-related statute or regulation, or an action dismissed by a domestic or foreign court pursuant to a settlement agreement.

Disclosure 1 of 1

Reporting Source: Regulator
Initiated By: SECURITIES AND EXCHANGE COMMISSION
Relief Sought:
Other Relief Sought:
Date Court Action Filed: 03/27/1991
Product Type:
Other Product Types:
Employing firm when activity occurred which led to the action: DREXEL BURNHAM LAMBERT INCORPORATED
Allegations:
Current Status: Final
Resolution: Consent
Resolution Date: 03/27/1991
Sanctions Ordered or Relief Granted: Cease and Desist/Injunction

Other Sanctions:

Sanction Details:

Regulator Statement

+4/9/91+ SEC NEWS DIGEST, ISSUE 91-60, DATED MARCH 28, 1991 CIVIL PROCEEDINGS DISCLOSES; "CIVIL ACTION FILED AGAINST PETER GARDINER"; ON MARCH 27, THE COMMISSION ANNOUNCED THE FILING OF A CIVIL ACTION AGAINST PETER R. GARDINER (GARDINER) IN THE U.S. DISTRICT COURT FOR THE SOUTHERN DISTRICT OF NEW YORK. WITHOUT ADMITTING OR DENYING THE ALLEGATIONS OF THE COMMISSION'S COMPLAINT, GARDINER CONSENTED TO THE ENTRY OF A FINAL JUDGMENT ENJOINING HIM FROM VIOLATING OR AIDING AND ABETTING VIOLATIONS OF THE ANTIFRAUD AND OTHER PROVISIONS OF THE FEDERAL SECURITIES LAWS, INCLUDING: SECTIONS 7(c), 7(f), 8(a), 9(a)(2), 10(b), AND 17(a)(1) OF THE EXCHANGE ACT AND RULES 10b-5, 10b-6, 17a-3, AND 17a-4, AND REGULATIONS T AND X PROMULGATED THEREUNDER; AND SECTION 17(a) OF THE SECURITIES ACT OF 1933. [SEC V. PETER R. GARDINER, 91 CIV. 2091, MP] (LR-12818)

Reporting Source: Individual
Initiated By: SECURITIES AND EXCHANGE COMMISSION
Relief Sought:
Other Relief Sought:



Date Court Action Filed: 03/27/1991

Product Type:

Other Product Types:

Court Details: 91 CIV 2091

Employing firm when activity occurred which led to the action: DREXEL BURNHAM LAMBERT INCORPORATED

Allegations: "VIOLATED AND AIDED AND ABETTED VIOLATIONS OF SECTIONS 7(C), 7(F), 8(A), 9(A), 10(B), AND 17(A)(1) OF THE SECURITIES AND EXCHANGE ACT OF 1934... AND RULES 10B-5, 10B-6, 17A-3 AND 17A-4 AND REGULATIONS T & X PROMULGATED THEREUNDER AND SECTION 17(A) OF THE SECURITIES ACT OF 1933 IN CONNECTION WITH CERTAIN SECURITIES TRANSACTIONS CARRIED OUT... DURING (MY) EMPLOYMENT AT DREXEL BURNHAM LAMBERT, INCORPORATED." (A COPY OF THE ORDER IS ATTACHED AND INCORPORATED (HEREIN.)

Current Status: Final

Resolution: Consent

Resolution Date: 03/27/1991

Sanctions Ordered or Relief Granted: Cease and Desist/Injunction

Other Sanctions:

Sanction Details: "WITHOUT ADMITTING OR DENYING THE ALLEGATIONS OF THE COMPLAINT, EXCEPT AS TO THE JURISDICTION OF THE COURT": PERMANENT INJUNCTION ENJOINING ME FROM FUTURE VIOLATIONS OF ABOVE LISTED RULES.

Broker Statement SETTLEMENT OF COMPLAINT MADE AFTER AGREEMENT TO COOPERATE IN FEDERAL CRIMINAL ACTION AGAINST MILKEN, ET AL. (MAY 1990)



End of Report

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