IAPD Report

JOHN JOSEPH GARDNER

CRD# 1306496

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

JOHN JOSEPH GARDNER (CRD# 1306496)

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 **01/02/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	BLACKHAWK WEALTH ADVISORS	CRD# 132251	04/26/2011

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	VALENTINE CAPITAL ASSET MANAGEMENT, INC.	140861	DANVILLE, CA	08/21/2007 - 06/26/2014
IA	EQUITY RESEARCH & PORTFOLIO EVALUATION, INC.	132251	ALAMO, CA	01/12/2010 - 12/31/2010
IA	EQUITY RESEARCH & PORTFOLIO EVALUATION, INC.	132251	DANVILLE, CA	01/01/2005 - 12/31/2005

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
Criminal	1
Customer Dispute	3
Termination	1

©2026 FINRA. All rights reserved. Report about JOHN JOSEPH GARDNER.

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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name:	**BLACKHAWK WEALTH ADVISORS**
Main Address:	3860 BLACKHAWK RD STE. 160 DANVILLE, CA 94506
Firm ID#:	132251

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026
IA	Texas	Investment Adviser Representative	Restricted Approval	07/17/2017

Branch Office Locations

BLACKHAWK WEALTH ADVISORS
3860 BLACKHAWK RD
STE. 160
DANVILLE, CA 94506

©2026 FINRA. All rights reserved. Report about JOHN JOSEPH GARDNER.

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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Futures Managed Funds Examination (S31)	Series 31	07/24/1997
B	General Securities Representative Examination (S7)	Series 7	10/20/1984

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/29/1984

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at http://www.nasaa.org

©2026 FINRA. All rights reserved. Report about JOHN JOSEPH GARDNER.

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	08/21/2007 - 06/26/2014	VALENTINE CAPITAL ASSET MANAGEMENT, INC.	CRD# 140861	DANVILLE, CA
IA	01/12/2010 - 12/31/2010	EQUITY RESEARCH & PORTFOLIO EVALUATION, INC.	CRD# 132251	ALAMO, CA
IA	01/01/2005 - 12/31/2005	EQUITY RESEARCH & PORTFOLIO EVALUATION, INC.	CRD# 132251	DANVILLE, CA
B	09/08/1993 - 07/25/2001	SALOMON SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	11/30/1984 - 10/12/1993	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY

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
08/2001 - Present	EQUITY RESEARCH & PORTFOLIO EVALUATION, INC	OWNER	Y	DANVILLE, 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.

©2026 FINRA. All rights reserved. Report about JOHN JOSEPH GARDNER.

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*.
  - o A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - o A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - o 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*.
  - o 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.
  - o 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.
  - o 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.

©2026 FINRA. All rights reserved. Report about JOHN JOSEPH GARDNER.

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
Criminal	1
Customer Dispute	3
Termination	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	SHERIFF'S OFFICE, OAKLAND, CA A02351
Charge Date:	10/21/1984
Charge Details:	CHARGE 1 - ASSAULT WITH DEADLY WEAPON OTHER THAN FIREARM. CHARGE 2 - BATTERY
Felony?	
Current Status:	Final
Status Date:	10/31/1985
Disposition Details:	CHARGES DISMISSED/CASE CLOSED
Broker Statement	THE CHARGES BROUGHT AGAINST ME RELATIVE TO THIS CASE WERE DISMISSED DUE MAINLY TO THE NATURE OF THE CASE WHICH PROVOKED MY ACTIONS; A RELATIVELY HARMLESS, COLLEGE KID, BAR ROOM BRAWL INVOLVING ABOUT 10 COLLEGE AGE, YOUNG MEN.

©2026 FINRA. All rights reserved. Report about JOHN JOSEPH GARDNER.

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SALOMON SMITH BARNEY
Allegations:	TWO UNAUTHORIZED TRADES.
Product Type:	Other
Other Product Type(s):	EQUITY
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	07/16/2001
Complaint Pending?	No
Status:	Settled
Status Date:	07/18/2001
Settlement Amount:	$16,900.00
Individual Contribution Amount:	$16,900.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SALOMON SMITH BARNEY
Allegations:	ALLEGED TWO UNAUTHORIZED TRADES.
Product Type:	Equity - OTC
Other Product Type(s):	EQUITY
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	07/16/2001
Complaint Pending?	No
Status:	Settled
Status Date:	07/18/2001
Settlement Amount:	$16,900.00
Individual Contribution Amount:	$16,900.00

©2026 FINRA. All rights reserved.

Broker Statement	THE ALLEGATIONS ARE FALSE, AS I HAD OBTAINED VERBAL AUTHORIZATION FROM CLAIMANT PRIOR TO ALL TRANSACTIONS.

Disclosure 2 of 3

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	SALOMON SMITH BARNEY INC.
Allegations:	CLAIMANTS ALLEGES THAT THE RESPONDENTS NEGLIGENTLY HANDLED THEIR ACCOUNTS, BREACHED THEIR FIDUCIARY DUTY TO CLAIMANTS, AND MISREPRESENTED THE NATURE OF CLAIMANTS' INVESTMENTS. CLAIMANTS SEEK DAMAGES AND RECISSION OF THEIR DEA WITTER INCOME TRUST HOLDINGS.
Product Type:	
Alleged Damages:	$9,522.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NYSE - CASE #1995-005166
Date Notice/Process Served:	08/18/1995
Arbitration Pending?	No
Disposition:	Other
Disposition Date:	03/25/1996
Disposition Detail:	AWARD AGAINST PARTY THE UNDERSIGNED ARBITRATORS HAVE DECIDED AND DETERMINED IN FULL AND FINAL SETTLEMENT OF ALL CLAIMS BETWEEN THE PARTIES THAT: RESPONDENTS SHALL PAY TO CLAIMANTS $4,500. THIS AWARD IS JOINT AND SEVERAL. REMARKS: THIS MATTER INITIALLY ALSO NAMED DEAN WITTER REYNOLDS, INC., CHARLES BESS AND RICHARD HUBER AS RESPONDENTS. THE CLAIMS AGAINST THES RESPONDENTS WERE SETTLED PURSUANT TO A LETTER FROM CLAIMANTS DATED OCTOBER 20, 1995

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SALOMON SMITH BARNEY INC.
Allegations:	THE ALLEGATIONS AGAINST MR. GARDNER ARISING DURING THE PERIOD OF HIS EMPLOYMENT WAS HIS ALLEGED FAILURE TO INFORM CLAIMANTS REGARDING THE STATUS OF THEIR INVESTMENTS. ALLEGED DAMAGES: $9,522.00.
Product Type:	
Alleged Damages:	$9,522.00

Customer Complaint Information

©2026 FINRA. All rights reserved.

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.:	New York Stock Exchange; 1995-005166
Date Notice/Process Served:	08/18/1995
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	03/25/1996
Monetary Compensation Amount:	$4,500.00
Individual Contribution Amount:	
Broker Statement	NYSE FOUND RESPONDENTS JOINTLY AND SEVERALLY LIABLE AND AWARDED CLAIMANTS $4,500. THE FIRM DISAGREES THAT THE ALLEGATIONS RELATING TO THE PERIOD OF MR. GARDNER`S EMPLOYMENT AT SMITH BARNEY CONSTITUTE A REPORTABLE EVENT AND IS FILLING THE AMENDED U-4 DUE ONLY TO A CRD ADVISORY MESSAGE. CONTACT: ANN PARRY, ESQ-19TH FLOOR (212) 816-8004.

Disclosure 3 of 3

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	DEAN WITTER REYNOLDS, INC
Allegations:	SUITABILITY; MISREPRESENTATION; BRCH OF FIDUCIARY DT; CHURNING
Product Type:	
Alleged Damages:	$100,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #91-03761
Date Notice/Process Served:	12/04/1991
Arbitration Pending?	No
Disposition:	Dismissed
Disposition Date:	08/18/1992

©2026 FINRA. All rights reserved. Report about JOHN JOSEPH GARDNER.

Disposition Detail: AWARD AGAINST PARTY
ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS
BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT $31,985.00 JOINTLY
AND SEVERALL

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: DEAN WITTER REYNOLDS, INC

Allegations:

Product Type:

Alleged Damages: $100,000.00

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.; 91-03761

Date Notice/Process Served: 12/04/1991

Arbitration Pending? No

Disposition: Dismissed

Disposition Date: 08/18/1992

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: DEAN WITTER REYNOLDS, INC

Allegations: CLAIMANT ALLEGED VIOLATIONS OF SECTION 10(B)
AND RULE 10(B) - S.\ CALIFORNIA CORPORATIONS CODE SECTIONS
25400 AND 25401 AND INTENTIONAL MISREPRESENTATION, NEGLIGENT
MISREPRESENTATION AND BREACH OF FIDUCIARY DUTY. CLAIMANT
SOUGHT
COMPENSATORY DAMAGES OF AT LEAST $100,000, INTEREST, LOSS
PROFITS, PUNITIVE DAMAGES OF AT LEAST $300,000, COSTS &
ATTORNEY'S FEES.

Product Type:

Alleged Damages: $100,000.00

©2026 FINRA. All rights reserved. Report about JOHN JOSEPH GARDNER.

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.; 91-03761
Date Notice/Process Served:	12/04/1991
Arbitration Pending?	No
Disposition:	Dismissed
Disposition Date:	08/18/1992
Broker Statement	ALL CLAIMS AGAINST MR. GARDNER WERE DISMISSED. Not Provided

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	SALOMON SMITH BARNEY
Termination Type:	Discharged
Termination Date:	07/19/2001
Allegations:	ALLEGED UNAUTHORIZED TRADE
Product Type:	Equity - OTC
Other Product Types:	EQUITY
Broker Statement	THE ALLEGATION IS FALSE. I OBTAINED VERBAL AUTHORIZATION FROM CLAIMANT PRIOR TO ALL TRADES.

©2026 FINRA. All rights reserved. Report about JOHN JOSEPH GARDNER.

End of Report

This page is intentionally left blank.

©2026 FINRA. All rights reserved. Report about JOHN JOSEPH GARDNER.