IAPD Report

GABRIEL GERARD TESSAR

CRD# 1491923

Section Title	Page(s)

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

GABRIEL GERARD TESSAR (CRD# 1491923)

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 **03/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	TRIDENT PARTNERS LTD.	CRD# 41258	10/16/2017
IA	TRIDENT ADVISORS LLC	CRD# 145231	02/22/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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
B	LPL FINANCIAL LLC	6413	PORT JEFFERSON, NY	06/29/2012 - 10/30/2017
IA	LPL FINANCIAL LLC	6413	PORT JEFFERSON, NY	06/29/2012 - 12/31/2015
IA	CAPITAL ONE FINANCIAL ADVISORS LLC	127236	MELVILLE, NY	06/21/2011 - 07/12/2012

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	1
Customer Dispute	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 **12** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **TRIDENT PARTNERS LTD.**

Main Address: 181 CROSSWAYS PARK DRIVE
WOODBURY, NY 11797

Firm ID#: 41258

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	10/16/2017
B	Alabama	Agent	Approved	01/22/2019
B	California	Agent	Approved	01/09/2018
B	Connecticut	Agent	Approved	08/05/2022
B	Florida	Agent	Approved	01/10/2018
B	Georgia	Agent	Approved	01/02/2018
B	Massachusetts	Agent	Approved	01/16/2018
B	New Jersey	Agent	Approved	01/09/2018
B	New York	Agent	Approved	10/16/2017
B	North Carolina	Agent	Approved	10/20/2017
B	Oregon	Agent	Approved	03/24/2022
B	Vermont	Agent	Approved	01/04/2018
B	Wisconsin	Agent	Approved	01/09/2018

Qualifications

Branch Office Locations

TRIDENT PARTNERS LTD.
321 Dante Court
Suite A2
Holbrook, NY 11741

Employment 2 of 2

Firm Name: **TRIDENT ADVISORS LLC**

Main Address: 181 CROSSWAYS PARK DRIVE
WOODBURY, NY 11797

Firm ID#: 145231

	Regulator	Registration	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	02/22/2019

Branch Office Locations

TRIDENT ADVISORS LLC
181 CROSSWAYS PARK DRIVE
WOODBURY, NY 11797

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 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	04/19/1986

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	06/10/2011
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/21/1986

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
B	06/29/2012 - 10/30/2017	LPL FINANCIAL LLC	CRD# 6413	PORT JEFFERSON, NY
IA	06/29/2012 - 12/31/2015	LPL FINANCIAL LLC	CRD# 6413	PORT JEFFERSON, NY
IA	06/21/2011 - 07/12/2012	CAPITAL ONE FINANCIAL ADVISORS LLC	CRD# 127236	MELVILLE, NY
B	01/03/2005 - 07/12/2012	CAPITAL ONE INVESTMENT SERVICES LLC	CRD# 25658	PORT JEFFERSON STA NY
B	01/02/2004 - 01/03/2005	GREENPOINT SECURITIES LLC	CRD# 127042	LAKE SUCCESS, NY
B	06/05/1997 - 01/02/2004	ESSEX NATIONAL SECURITIES, INC.	CRD# 25454	NAPA, CA
B	01/16/1997 - 05/27/1997	FIS SECURITIES, INC.	CRD# 30533	BOSTON, MA
B	08/25/1992 - 05/21/1997	FLEET ENTERPRISES, INC.	CRD# 17434	NEW YORK, NY
B	09/04/1990 - 05/06/1991	ROBERT THOMAS SECURITIES, INC	CRD# 10147	ST. PETERSBURG, FL
B	09/18/1989 - 06/19/1990	SHEARSON LEHMAN HUTTON INC.	CRD# 7506	NEW YORK, NY
B	06/22/1989 - 09/20/1989	NATIONAL SECURITIES NETWORK, INC.	CRD# 14929	ENGLEWOOD, CO
B	03/23/1989 - 06/26/1989	SECURITIES USA, INC.	CRD# 14799	ENGLEWOOD, CO
B	03/03/1989 - 03/27/1989	J. W. GANT & ASSOCIATES, INC.	CRD# 7963	
B	07/25/1988 - 03/10/1989	INVESTORS CENTER, INC.	CRD# 14670	HAUPPAGUE, NY
B	04/23/1986 - 07/28/1988	BLINDER, ROBINSON & CO., INC.	CRD# 5096	

Registration & Employment History

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
10/2017 - Present	TRIDENT PARTNERS LTD.	REGISTERED REPRESENTATIVE	Y	WOODBURY, NY, United States
06/2012 - 10/2017	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	PORT JEFFERSON, NY, 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.

1. 10/12/2012: TESSAR WEALTH MANAGEMENT INC - Business Entity For Tax/Investment Purposes Only - INV REL - AT REPORTED BUSINESS LOCATION - Set Up solely for income tax purposes and to record related expenses - 1% TIME SPENT.

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	1
Customer Dispute	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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	MICHIGAN
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	12/27/1989
Docket/Case Number:	UNKNOWN
Employing firm when activity occurred which led to the regulatory action:	INVESTORS CENTER
Product Type:	No Product
Other Product Type(s):	
Allegations:	FAILURE TO PAY THE BALANCE OF THE $30 1989 RENEWAL FEE
Current Status:	Final
Resolution:	Decision
Resolution Date:	12/27/1989
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	GABRIEL GERARD TESSAR'S REGISTRATION WAS REVOKED DUE TO THE FAILURE TO PAY THE BALANCE OF THE $30 1989 RENEWAL FEE, IN THE AMOUNT OF $15.

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF MICHIGAN
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	12/27/1989
Docket/Case Number:	Unknown
Employing firm when activity occurred which led to the regulatory action:	INVESTORS CENTER
Product Type:	
Other Product Type(s):	
Allegations:	INVESTORS CENTER NON PAYMENT OF BALANCE OF $30.00 1989 RENEWAL FEE. IN THE AMOUNT OF $15.00.
Current Status:	Final
Resolution:	Decision
Resolution Date:	12/27/1989
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	I PAID $15.00 CHECK #1751
Broker Statement	Not Provided

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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL LLC
Allegations:	Customers allege that an investments made during the time period 2012-2014 were inappropriate for the customers' investment objectives and risk tolerance.
Product Type:	Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Cannot be determined but over $5,000.00.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	24-00006
Filing date of arbitration/CFTC reparation or civil litigation:	12/29/2023

Customer Complaint Information

Date Complaint Received:	01/02/2024
Complaint Pending?	No
Status:	Settled
Status Date:	05/06/2025
Settlement Amount:	$59,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LPL Financial LLC
Allegations:	Customers allege that an investment made during the period of 2012-2014 were

	inappropriate for the customers investment objectives and risk tolerance.
Product Type:	Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Cannot be determined but over $5,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	24-00006
Filing date of arbitration/CFTC reparation or civil litigation:	12/29/2023

Customer Complaint Information

Date Complaint Received:	03/11/2024
Complaint Pending?	No
Status:	Settled
Status Date:	05/06/2025
Settlement Amount:	$59,000.00
Individual Contribution Amount:	$0.00

End of Report

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