



## IAPD Report

### GORDON JAMES RIEGER JR

CRD# 1661912

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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

### **GORDON JAMES RIEGER JR (CRD# 1661912)**

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 **07/30/2015**.

### **CURRENT EMPLOYERS**

This individual is not currently registered as an Investment Adviser Representative.

### **QUALIFICATIONS**

This individual is not currently registered as an Investment Adviser Representative.

**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 JHS CAPITAL ADVISORS, LLC	112097	NOVATO, CA	12/19/2012 - 07/30/2015

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**

These disclosure events relate to any Investment Adviser Representative who is not currently registered and who: (1) was the subject of a final regulatory event; (2) was convicted of or pled guilty or nolo contendere to a crime; (3) was the subject of a civil injunction or civil court finding involving a violation of any investment-related statute(s) or regulation(s); or (4) was named as a respondent or defendant or was the subject of an arbitration or civil litigation which resulted in an award, decision or judgment for a customer.

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

The following types of events are disclosed about this representative:

Type	Count
Criminal	2



## 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 not currently registered as an Investment Adviser Representative.



## 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, 0 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
No information reported.		

#### State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	12/12/2012

### 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	12/19/2012 - 07/30/2015	JHS CAPITAL ADVISORS, LLC	CRD# 112097	NOVATO, CA

### 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
04/2012 - Present	JHS CAPITAL ADVISORS, LLC	Mass Transfer	Y	NOVATO, CA, United States



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

**(1) 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, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions are separated by a solid line with the reporting source labeled.

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



## DISCLOSURE EVENT DETAILS

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	2

### Criminal

This disclosure event involves a conviction or guilty plea of the Investment Adviser Representative for any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

#### Disclosure 1 of 2

<b>Reporting Source:</b>	Firm
<b>Court Details:</b>	CIRCUIT COURT, CITY OF RICHMOND, VA N/A
<b>Charge Date:</b>	01/11/1985
<b>Charge Details:</b>	CONSPIRACY TO DISTRIBUTE MORE THAN 5 POUNDS OF MARIJUANA
<b>Felony?</b>	Yes
<b>Current Status:</b>	Final
<b>Status Date:</b>	06/23/1986
<b>Disposition Details:</b>	INCARCERATED FROM JUNE 23, 1986 UNTIL OCTOBER 27, 1986 IN HANOVER, VA COUNTY JAIL.
<b>Firm Statement</b>	MR. RIEGER WAS ALSO CHARGED WITH UNLAWFUL FLIGHT TO AVOID PROSECUTION. THIS WAS DISMISSED IN SAN FRANCISCO, CA ON 11/13/84. HE MOVED TO CALIFORNIA IN JULY OF 1984. BECAUSE THERE WERE NO CHARGES AGAINST HIM UNTIL SEPTEMBER OF 1984. NO UNLAWFUL FLIGHT OCCURED. SEE ATTACHED.

<b>Reporting Source:</b>	Individual
<b>Court Details:</b>	CIRCUIT COURT, CITY OF RICHMOND, VA
<b>Charge Date:</b>	01/11/1985
<b>Charge Details:</b>	CONSPIRACY TO DISTRIBUTE MORE THAN FIVE POUNDS OF MARIJUANA.
<b>Felony?</b>	Yes
<b>Current Status:</b>	Final
<b>Status Date:</b>	06/23/1986
<b>Disposition Details:</b>	INCARCERATED FROM JUNE 23, 1986 UNTIL OCTOBER 27, 1986 IN HANOVER, VIRGINIA COUNTY JAIL

#### Disclosure 2 of 2

<b>Reporting Source:</b>	Individual
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**Court Details:** JUSTICE COURT, COUNTY OF DOUGLAS, STATE OF NEVADA 78-1311

**Charge Date:** 01/10/1979

**Charge Details:** (3 COUNTS) POSSESSION OF A CONTROLLED SUBSTANCE FOR PURPOSE OF SALE, POSSESSION OF A CONTROLLED SUBSTANCE, POSSESSION OF A CONTROLLED SUBSTANCE.

**Felony?** Yes

**Current Status:** Final

**Status Date:** 04/25/1979

**Disposition Details:** PLEA OF GUILTY TO A MISDEMEANOR OF DISTURBING THE PEACE. \$500.00 FINE.

**Broker Statement**

COPY OF COMPLAINT IN THE MATTER OF THE STATE OF NEVADA, PLAINTIFF, VS. GORDON JAMES RIEGER DEFENDANT INDICATES RIEGER WAS CHARGED WITH 3 COUNTS FELONY THE FOR THE CRIME OF POSSESSION OF A CONTROLLED SUBSTANCE FOR PURPOSE OF SALE, VIOLATION SEC. 453.337 OF NEVADA REVISED STATUTES; POSSESSION OF A CONTROLLED SUBSTANCE, VIOLATION SEC. 453.336 OF NEVADA REVISED STATUTES; POSSESSION OF A CONTROLLED SUTSTANCE, VIOLATION SEC. 453.336 OF NEVADA REVISED STATUTES ON OR ABOUT THE 29TH DAY OF DECEMBER, 1978. COMPLAINT WAS SWORN ON JANUARY 10, 1979. IN AMENDED COMPLAINT, RIEGER WAS CHARGED WITH THE MISDEMEANOR CRIME OF DISORDERLY CONDUCT, A VIOLATION OF SECTION 9.24.030 OF DOUGLAS COUNTY CODE ON OR ABOUT THE 29TH DAY OF DECEMBER, 1979 IN THAT HE DID WILFULLY AND UNLAWFULLY APPEAR IN A PUBLIC PLACE WITHIN DOUGLAS COUNTY IN SUCH A STATE OF INTOXICATING AS TO BE UNABLE TO CARE FOR HIMSELF, ALL OF WHICH OCCURRED IN TAHOE TOWNSHIP, COUNTY OF DOUGLAS, STATE OF NEVADA. ON 4/25/79, RIEGER VOLUNTARILY ENTERED A PLEA OF GUILTY TO THE MISDEMEANOR CHARGE OF DISBURBING THE PEACE DOUGLAS COUNTY ORDINANCE 9.24.030.



## End of Report

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