



## IAPD Report

# JOHN HENRY CIERSKI

CRD# 2138486

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



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 HENRY CIERSKI (CRD# 2138486)

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 **02/07/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	MADISON GLOBAL PARTNERS LLC	CRD# 285406	01/10/2018
<b>IA</b>	MADISON GLOBAL ADVISORS LLC	CRD# 288894	02/26/2020

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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>IA</b>	MADISON GLOBAL ADVISORS LLC	288894	HAUPPAUGE, NY	04/12/2018 - 12/31/2019
<b>IA</b>	TRIDENT ADVISORS LLC	145231	WOODBURY, NY	11/16/2015 - 01/08/2018
<b>B</b>	TRIDENT PARTNERS LTD.	41258	Hauppauge, NY	10/14/2015 - 01/08/2018

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
Customer Dispute	2
Termination	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 currently registered with **17** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **MADISON GLOBAL PARTNERS LLC**  
Main Address: 350 VANDERBILT MOTOR PARKWAY, SUITE 205  
HAUPPAUGE, NY 11788  
Firm ID#: 285406

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	01/10/2018
<b>B</b>	FINRA	General Securities Principal	Approved	12/13/2023
<b>B</b>	Arizona	Agent	Approved	01/10/2018
<b>B</b>	California	Agent	Approved	01/10/2018
<b>B</b>	Colorado	Agent	Approved	03/04/2019
<b>B</b>	Connecticut	Agent	Approved	01/10/2018
<b>B</b>	Florida	Agent	Approved	01/10/2018
<b>B</b>	Georgia	Agent	Approved	02/19/2018
<b>B</b>	Illinois	Agent	Approved	07/10/2018
<b>B</b>	Michigan	Agent	Approved	01/10/2018
<b>B</b>	New Jersey	Agent	Approved	02/16/2018
<b>B</b>	New York	Agent	Approved	01/11/2018
<b>B</b>	North Carolina	Agent	Approved	09/19/2019



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Pennsylvania	Agent	Approved	01/10/2018
<b>B</b> Rhode Island	Agent	Approved	10/09/2019
<b>B</b> South Carolina	Agent	Approved	04/05/2018
<b>B</b> Tennessee	Agent	Approved	02/12/2024
<b>B</b> Texas	Agent	Approved	01/10/2018
<b>B</b> Virginia	Agent	Approved	01/10/2018

### Branch Office Locations

350 VANDERBILT MOTOR PARKWAY, SUITE 205  
HAUPPAUGE, NY 11788

350 VANDERBILT MOTOR PARKWAY  
Suite 205  
HAUPPAUGE, NY 11788

### Employment 2 of 2

Firm Name: **MADISON GLOBAL ADVISORS LLC**  
 Main Address: 350 MOTOR PARKWAY  
 SUITE 205  
 HAUPPAUGE, NY 11788  
 Firm ID#: 288894

Regulator	Registration	Status	Date
<b>IA</b> Florida	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026
<b>IA</b> New Jersey	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026
<b>IA</b> New York	Investment Adviser Representative	Approved	10/19/2021

### Branch Office Locations

**MADISON GLOBAL ADVISORS LLC**  
 350 MOTOR PARKWAY  
 SUITE 205  
 HAUPPAUGE, NY 11788





## 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 2 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.**



#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	12/13/2023
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	06/04/1997

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	08/06/1991

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	02/06/2009
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/14/1991

### 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	04/12/2018 - 12/31/2019	MADISON GLOBAL ADVISORS LLC	CRD# 288894	HAUPPAUGE, NY
IA	11/16/2015 - 01/08/2018	TRIDENT ADVISORS LLC	CRD# 145231	WOODBURY, NY
B	10/14/2015 - 01/08/2018	TRIDENT PARTNERS LTD.	CRD# 41258	Hauppauge, NY
IA	03/03/2009 - 10/27/2015	GILFORD FINANCIAL CORP.	CRD# 126593	MELVILLE, NY
B	04/19/1998 - 10/27/2015	GILFORD SECURITIES INCORPORATED	CRD# 8076	MELVILLE, NY
B	07/25/1996 - 04/15/1998	HD BROUS & CO., INC.	CRD# 22062	GREAT NECK, NY
B	12/05/1994 - 08/12/1996	LANDMARK INTERNATIONAL EQUITIES	CRD# 25098	WESTBURY, NY
B	09/12/1994 - 12/19/1994	VTR CAPITAL, INC.	CRD# 21404	NEW YORK, NY
B	03/09/1993 - 09/21/1994	J. GREGORY & COMPANY, INC.	CRD# 14892	
B	08/12/1991 - 02/12/1993	STRATTON OAKMONT INC.	CRD# 18692	LAKE SUCCESS, NY
B	01/27/1993 - 02/04/1993	THE HARRIMAN GROUP, INC.	CRD# 14079	JERICHO, 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
03/2018 - Present	Madison Global Advisors LLC	Advisor	Y	Happauge, NY, United States
01/2018 - Present	Madison Global Partners LLC	RR	Y	Happauge, NY, United States
10/2015 - 01/2018	Trident Partners	RR	Y	Woodbury, NY, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

### 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.

Insurance-American National life Insurance Co of NY

Life, Accident & Health, travel accident, Variable Life and Annuities

On an as needed basis.

Madison Global Insurance Agency Hauppauge NY on an as needed basis

QAAC Inc., Non securities related consulting business, on an as needed basis.

MGP 7 LLC, 350 Motor Parkway Hauppauge NY 11788, SPV Managing Member October 2019 as needed

MGP Klarna, 350 Motor Parkway Hauppauge NY 11788, SPV C0-manager, October 2021 As needed.



## 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
Customer Dispute	2
Termination	2

### 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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	OHIO DIVISION OF SECURITIES 77 SOUTH HIGH STREET, 2*See FAQ #1*
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	02/26/1999
<b>Docket/Case Number:</b>	99-085
<b>Employing firm when activity occurred which led to the regulatory action:</b>	LANDMARK INTERNATIONAL EQUITIES; H.D. BROUS & CO.
<b>Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	NOT OF GOOD BUSINESS REPUTE
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Resolution Date:</b>	02/26/1999
<b>Sanctions Ordered:</b>	Revocation/Expulsion/Denial
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	SECURITIES SALESMAN LICENSE WAS DENIED.



**Regulator Statement** ON FEBRUARY 26, 1999, THE OHIO DIVISION OF SECURITIES ISSUED A FINAL ORDER TO DENY APPLICATION FOR LICENSE, DIVISION ORDER 99-085, AGAINST CIERSKI. THE DIVISION FOUND THAT CIERSKI WAS NOT OF GOOD BUSINESS REPUTE AS THAT TERM IS DEFINED IN OHIO ADMINISTRATIVE CODE RULE 1301:6-3-19(D)(G) AND (9) AND OHIO REVISED CODE SECTION 1707.19(A)(1).

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**Reporting Source:** Individual  
**Regulatory Action Initiated By:** STATE OF OHIO; DEPARTMENT OF COMMERCE; DIVISION OF SECURITIES.  
**Sanction(s) Sought:** Denial  
**Other Sanction(s) Sought:**  
**Date Initiated:** 02/26/1999  
**Docket/Case Number:** ORDER#-99-085  
**Employing firm when activity occurred which led to the regulatory action:** H.D. BROUS & CO.  
**Product Type:** No Product  
**Other Product Type(s):** N/A  
**Allegations:** DENIAL BASED ON ALLEGED TERMINATIONS FROM LANDMARK WHICH IS FALSE; AND H.D. BROUS WHICH WILL BE FOUGHT IN ARBITRATION IN APRIL 2000. NASD ARBITRATION NO. 98-03032.  
**Current Status:** Final  
**Appealed To and Date Appeal Filed:** N/A  
**Resolution:** Other  
**Resolution Date:** 02/26/1999  
**Sanctions Ordered:** Revocation/Expulsion/Denial  
**Other Sanctions Ordered:** N/A  
**Sanction Details:** DENIAL OF REGISTRATION

**Disclosure 2 of 2**

**Reporting Source:** Regulator  
**Regulatory Action Initiated By:** IN  
**Sanction(s) Sought:**  
**Other Sanction(s) Sought:**  
**Date Initiated:** 01/04/1999  
**Docket/Case Number:** 98-0252 OP



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

**Product Type:**

**Other Product Type(s):**

**Allegations:** DISCIPLINARY HISTORY RAISED QUESTIONS REGARDING ISSUING AN AGENT REGISTRATION IN INDIANA.

**Current Status:** Final

**Resolution:** Stipulation and Consent

**Resolution Date:** 01/04/1999

**Sanctions Ordered:**

**Other Sanctions Ordered:**

**Sanction Details:** FILED ORDER OF RESTRICTIVE AGREEMENT

**Regulator Statement** AFTER REVIEW OF HIS DISCIPLINARY HISTORY, THE AGENTS REGISTRATION WAS APPROVED WITH RESTRICTIONS PURSUANT TO AN ORDER OF RESTRICTIVE AGREEMENT THAT INCLUDES BUT LIMITED TO:  
1) STRICT SUPERVISION, 2) NO DISCRETIONARY AUTHORITY OVER INDIANA ACCOUNTS, 3) APPROVAL BY THE BRANCH MANAGER OF NEW ACCOUNTS, 4) NOTIFICATION TO THE DIVISION OF ANY COMPLAINTS, 5) COMPLIANCE WITH ALL STATE/FEDERAL SECURITIES LAWS. CONTACT: KATHLEEN GUYMON BLACKHAM (317) 232-6681

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** STATE OF INDIANA

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 01/04/1999

**Docket/Case Number:** 98-0252 OP

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

**Product Type:**

**Other Product Type(s):**

**Allegations:** Not Provided

**Current Status:** Final

**Resolution:** Stipulation and Consent

**Resolution Date:** 01/04/1999

**Sanctions Ordered:**

**Other Sanctions Ordered:**



**Sanction Details:**

IN ORDER TO APPROVE MR. CIERSKI IN THE STATE OF INDIANA, THE STATE OF INDIANA REQUIRED THAT MR. CIERSKI SIGN AN ORDER OF RESTRICTIVE AGREEMENT. UPON EXECUTING THE ORDER OF RESTRICTIVE AGREEMENT, MR. CIERSKI WAS APPROVED IN THE STATE OF INDIANA.

**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 2

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** GILFORD SECURITIES INCORPORATED

**Allegations:** FROM SEPTEMBER 2010 THROUGH DECEMBER 2011 CLIENT ALLEGES THAT ONCE HIS ACCOUNT BECAME A FEE-BASED ACCOUNT, THERE WAS A LACK OF ATTENTION RESULTING IN A LOSS

**Product Type:** No Product

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** NO SPECIFIC DAMAGE AMOUNT WAS ALLEGED. CLIENT CLAIMES AS OF DECEMBER 2011 HIS ACCOUNT WAS DOWN BY 33%

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** No

### Customer Complaint Information

**Date Complaint Received:** 03/07/2012

**Complaint Pending?** No

**Status:** Withdrawn

**Status Date:** 02/01/2013

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** THE FIRM REVERSED THE MANAGED ACCOUNT FEE AS A COURTESY FOR THIS CUSTOMER DUE TO MINIMAL COMMUNICATIONS OVER THE LAST YEAR.

### Disclosure 2 of 2

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** GILFORD SECURITIES, INC.

**Allegations:** CLIENT ALLEGES HE GAVE SELL ORDER DURING MAY 1999 WHICH I DID NOT ENTER. HE DID NOT GIVE ME SUCH ORDER AND HE WAS AWARE ONE DAY AFTER THE ALLEGED SELL ORDER, THAT SALE WAS NOT MADE.



CLIENT HELD STOCK FOR 6 MONTHS DURING STEEP DECLINE IN PRICE AND THEN SENDS COMPLAINT LETTER. COMPLAINT DENIED BY MY FIRM

**Product Type:** Equity - OTC

**Alleged Damages:** \$25,500.00

**Customer Complaint Information**

**Date Complaint Received:** 11/12/1999

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 11/19/1999

**Settlement Amount:**

**Individual Contribution Amount:**



## 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 2

**Reporting Source:** Individual  
**Firm Name:** HD BROUS & CO., INC.  
**Termination Type:** Discharged  
**Termination Date:** 03/19/1998  
**Allegations:** N/A  
FAILURE TO SUPERVISE  
**Product Type:**  
**Other Product Types:**  
**Broker Statement** TERMINATION  
~5 JUNIOR BROKERS WERE FOUND WITH SALES PITCHES.  
I WAS FOUND RESPONSIBLE & TERMINATED.

### Disclosure 2 of 2

**Reporting Source:** Individual  
**Firm Name:** LANDMARK INTERNATIONAL EQUITIES  
**Termination Type:** Voluntary Resignation  
**Termination Date:** 07/23/1996  
**Allegations:** UNAUTHORIZED TRADING AND FALSE REPRESENTATION  
**Product Type:** Equity - OTC  
**Other Product Types:** N/A  
**Broker Statement** I VOLUNTARILY RESIGNED, WHICH HAD NOTHING TO DO WITH THE COMPLAINT IN QUESTION, WHICH WAS RECEIVED ON 07/22/1996.



## End of Report

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