



## IAPD Report

# MARIO JOSEPH GABELLI

CRD# 216136

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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

### MARIO JOSEPH GABELLI (CRD# 216136)

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 **05/01/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>IA</b>	GAMCO ASSET MANAGEMENT INC.	CRD# 104950	05/14/1990
<b>B</b>	G.DISTRIBUTORS, LLC	CRD# 155071	01/24/2020
<b>B</b>	G.RESEARCH, LLC	CRD# 7353	05/01/2026

### QUALIFICATIONS

This representative is currently registered in **1** 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
<b>B</b>	G.RESEARCH, LLC	7353	RYE, NY	02/28/1977 - 12/31/2019
<b>B</b>	DREXEL BURNHAM LAMBERT INCORPORATED	7323	RYE, NY	01/06/1977 - 02/10/1977
<b>B</b>	WILLIAM D. WITTER, INC.	3789	RYE, NY	08/27/1975 - 01/06/1977

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



## 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 1 SRO(s) through his or her employer(s).

#### Employment 1 of 3

Firm Name: **G.RESEARCH, LLC**  
Main Address: ONE CORPORATE CENTER  
RYE, NY 10580-1435  
Firm ID#: 7353

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	05/01/2026

#### Branch Office Locations

191 Mason Street  
Greenwich, CT 06830

#### Employment 2 of 3

Firm Name: **G.DISTRIBUTORS, LLC**  
Main Address: ONE CORPORATE CENTER  
RYE, NY 10580-1435  
Firm ID#: 155071

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	01/24/2020
<b>B</b>	Connecticut	Agent	Approved	07/09/2025
<b>B</b>	New York	Agent	Approved	03/04/2020

#### Branch Office Locations

191 Mason Street  
Greenwich, CT 06830

#### Employment 3 of 3



## Qualifications

Firm Name: **GAMCO ASSET MANAGEMENT INC.**  
Main Address: 191 MASON STREET  
GREENWICH, CT 06830  
Firm ID#: 104950

	Regulator	Registration	Status	Date
<b>IA</b>	Connecticut	Investment Adviser Representative	Approved	01/28/2000

## Branch Office Locations

**GAMCO ASSET MANAGEMENT INC.**  
ONE CORPORATE CENTER  
RYE, NY 10580



## 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, 3 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
Financial Principal Examination (F04)	F04	12/30/1976
Registered Principal Examination (S40)	Series 40	02/07/1972

#### General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Registered Representative Examination (S1)	Series 1	12/29/1967

#### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	05/28/1991

### PROFESSIONAL DESIGNATIONS

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

#### Chartered Financial Analyst

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>



## 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	02/28/1977 - 12/31/2019	G.RESEARCH, LLC	CRD# 7353	RYE, NY
B	01/06/1977 - 02/10/1977	DREXEL BURNHAM LAMBERT INCORPORATED	CRD# 7323	
B	08/27/1975 - 01/06/1977	WILLIAM D. WITTER, INC.	CRD# 3789	
B	01/03/1968 - 04/10/1975	LOEB RHOADES AND CO	CRD# 1000002	

### 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
05/2015 - Present	ASSOCIATED CAPITAL GROUP, INC.	EXECUTIVE CHAIRMAN	Y	Greenwich, CT, United States
12/2010 - Present	LICT CORPORATION	CHAIRMAN OF THE BOARD AND CHIEF EXECUTIVE OFFICER	N	RYE, NY, United States
11/2007 - Present	CIBL, INC.	Executive Chairman and Principle Executive Officer	N	RYE, NY, United States
02/2002 - Present	GABELLI ASSOCIATES FUND II, LP	CHIEF INVESTMENT OFFICER	Y	RYE, NY, United States
12/2001 - Present	THE MORGAN GROUP HOLDINGS CO.	CHAIRMAN	N	RYE, NY, United States
02/1999 - Present	GAMCO INVESTORS, INC.	CEO, CHAIRMAN	Y	RYE, NY, United States
08/1990 - Present	MJG ASSOCIATES, INC.	President	Y	GREENWICH, CT, United States
07/1989 - Present	GABELLI ASSOCIATES LIMITED	CHIEF INVESTMENT OFFICER	Y	GRAND CAYMAN, Cayman Islands
01/1989 - Present	GABELLI INTERNATIONAL LIMITED	CHAIRMAN, CIO	Y	GRAND CAYMAN, Cayman Islands
08/1986 - Present	GABELLI PERFORMANCE PARTNERSHIP, L.P.	GENERAL PARTNER, CIO	Y	GREENWICH, CT, United States
08/1986 - Present	VARIOUS GAMCO/GABELLI REGISTERED INVESTMENT COMPANIES	CHAIRMAN, TRUSTEE, PORTFOLIO MANAGER	Y	RYE, NY, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/1986 - Present	GABELLI FUNDS, LLC	MANAGER CHIEF INVESTMENT OFFICER FOR VALUE PORTFOLIOS	Y	RYE, NY, United States
01/1985 - Present	GABELLI ASSOCIATES FUND, LP	CIO, GENERAL PARTNER	Y	RYE, NY, United States
12/1980 - Present	GGCP, INC.	CEO AND DIRECTOR	Y	GREENWICH, CT, United States
08/1978 - Present	GAMCO ASSET MANAGEMENT INC.	CEO, CIO & CHAIRMAN	Y	RYE, NY, United States
11/1976 - Present	G.RESEARCH, LLC	REGISTERED REPRESENTATIVE	Y	RYE, NY, United States
03/2009 - 02/2017	TETON ADVISORS, INC.	PORTFOLIO MANAGER	Y	RYE, NY, United States
12/2015 - 11/2016	Associated Capital Group, Inc.	Chairman of the Board and Chief Executive Officer	Y	Rye, 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) MJG-IV LIMITED PARTNERSHIP - 140 GREENWICH AVE, GREENWICH, CT 06830; FAMILY PARTNERSHIP; GENERAL PARTNER; START DATE 1984; DEVOTES TIME NECESSARY TO EXECUTE ALL FUNCTIONS THAT ARE REQUIRED; DUTIES AS DIRECTED BY LIMITED PARTNERSHIP AGREEMENT.

(2) MJG MANAGEMENT LLC - 140 GREENWICH AVE, GREENWICH, CT 06830; LIMITED LIABILITY CORPORATION; MEMBER; START DATE 1999; DEVOTES TIME NECESSARY TO EXECUTE ALL FUNCTIONS THAT ARE REQUIRED; RESPONSIBILITIES AS DIRECTED BY THE OPERATING AGREEMENT.

(3) GGCP HOLDINGS, LLC - INVESTMENT RELATED; 140 GREENWICH AVE, GREENWICH, CT 06830; LIMITED LIABILITY CORPORATION; MEMBER; START DATE MAY 5, 2010; DEVOTES TIME NECESSARY TO EXECUTE ALL FUNCTIONS THAT ARE REQUIRED; RESPONSIBILITIES AS DIRECTED BY THE OPERATING AGREEMENT.

(4) CIBL, INC. - 165 WEST LIBERTY STREET, SUITE 210, RENO, NV 89501; HOLDING COMPANY; CHAIRMAN & CONTROLLING SHAREHOLDER; START DATE NOVEMBER 19, 2007; DEVOTES TIME NECESSARY TO EXECUTE ALL FUNCTIONS THAT ARE REQUIRED; DUTIES AS DIRECTED BY THE BY-LAWS AND BOARD OF DIRECTORS.

(5) GGCP, INC., FORMERLY (PRIOR TO FEBRUARY 1999) GABELLI FUNDS, INC. -- 140 GREENWICH AVE, GREENWICH, CT 06830; PRIVATE COMPANY; CHIEF EXECUTIVE OFFICER, DIRECTOR, CONTROLLING SHAREHOLDER; START DATE OCTOBER 1976; DEVOTES TIME NECESSARY TO EXECUTE ALL FUNCTIONS THAT ARE REQUIRED; DUTIES AS DIRECTED BY THE BY-LAWS AND BOARD OF DIRECTORS.



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

(6) GPJ RETIREMENT LLC - ONE CORPORATE CENTER, RYE, NY 10580; LIMITED LIABILITY CORPORATION; MEMBER; START DATE 2005; DEVOTES TIME NECESSARY TO EXECUTE ALL FUNCTIONS THAT ARE REQUIRED; DUTIES AS DIRECTED BY THE OPERATING AGREEMENT.

(7) LICT CORPORATION - 401 THEODORE FREMD AVENUE, RYE, NY 10580; PUBLIC COMPANY; CHIEF EXECUTIVE OFFICER & CHAIRMAN; START DATE SEPTEMBER 2009; DEVOTES TIME NECESSARY TO EXECUTE ALL FUNCTIONS THAT ARE REQUIRED; RESPONSIBILITIES AS DIRECTED BY THE BY-LAWS AND BOARD OF DIRECTORS, AND AS NECESSARY FOR POSITION.

(8) TETON ADVISORS, INC. - ONE CORPORATE CENTER, RYE, NY 10580; ASSET MANAGEMENT COMPANY; PORTFOLIO MANAGER; START DATE MARCH 2, 1998; DEVOTES TIME NECESSARY TO EXECUTE ALL FUNCTIONS THAT ARE REQUIRED; RESPONSIBILITIES AS NECESSARY FOR POSITION.

(9) MORGAN GROUP HOLDINGS CO. - 401 THEODORE FREMD AVENUE, RYE, NY 10580; CHAIRMAN; PUBLIC HOLDING COMPANY; START DATE 2001; DEVOTES TIME NECESSARY TO EXECUTE ALL FUNCTIONS THAT ARE REQUIRED; RESPONSIBILITIES AS DIRECTED BY BY-LAWS AND BOARD OF DIRECTORS, AND AS NECESSARY FOR POSITION.

(10) MJG ASSOCIATES, INC. - 140 GREENWICH AVE, GREENWICH, CT 06830; INVESTMENT MANAGEMENT COMPANY; SOLE SHAREHOLDER & EXECUTIVE OFFICER; START DATE AUGUST 1, 1990; DEVOTES TIME NECESSARY TO EXECUTE ALL FUNCTIONS THAT ARE REQUIRED; RESPONSIBILITIES AS NECESSARY FOR POSITION.

(11) Foreign Policy Association, non investment related, Headquartered at 551 Fifth Ave, Suite 3000, NY, NY 10176, Director, February 26 2020 start date, meetings of the Board occur twice a year, develop awareness, understanding and informed opinion on US foreign policy and global issues.



## 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

### 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:** SECURITIES AND EXCHANGE COMMISSION

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 08/24/1988

**Docket/Case Number:** Unknown

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

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 08/24/1988

**Regulator Statement** 9/1/88-SEC NEWS DIGEST ISSUE 88-163, DATED AUGUST 24, 1988 - ADMINISTRATIVE PROCEEDINGS DISCLOSES: 'ORDER ISSUED AGAINST THE GABELLI GROUP, INC., OTHERS'; THE COMMISSION ISSUED AN ORDER INSTITUTING PROCEEDINGS UNDER STCTION 15(c)(4) OF THE SECURITIES EXCHANGE ACT OF 1934 AND SECTION 9(b)(2) OF THE INVESTMENT COMPANY ACT OF 1940 AND FINDINGS, OPINION AND ORDER OF THE COMMISSION (ORDER) AGAINST THE GABELLI GROUP, INC.,



GABELLI-ROSENTHAL & PARTNERS, L.P., G & R PARTNERS, GABELLI FUNDS, INC., GAMCO INVESTORS, INC., AND MARIO J. GABELLI. THE COMMISSION FOUND THAT RESPONDENTS FAILED TO COMPLY, AND THAT MARIO GABELLI CAUSED THE OTHER RESPONDENTS' FAILURE TO COMPLY, WITH SECTION 13(d) OF THE EXCHANGE ACT AND RULE 13d-1 IN CONNECTION WITH AN ATTEMPT TO PURSUE A LEVERAGED BUYOUT OF DIGIORGIO CORPORATION. THE COMMISSION FURTHER FOUND THAT RESPONDENTS, OTHER THAN MARIO GABELLI, WILLFULLY VIOLATED SECTION 17(d) OF THE INVESTMENT COMPANY ACT AND RULE 17d-1. EACH RESPONDENT CONSENTED TO THE ORDER WITHOUT ADMITTING OR DENYING ANY OF THE MATTERS SET FORTH IN THE OPINION AND FINDINGS THEREIN. (REL. 34-26005)

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<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	SECURITIES AND EXCHANGE COMMISSION
<b>Sanction(s) Sought:</b>	Undertaking
<b>Date Initiated:</b>	08/17/1988
<b>Docket/Case Number:</b>	3-7040
<b>Employing firm when activity occurred which led to the regulatory action:</b>	GABELLI & COMPANY, INC.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	ALLEGATIONS OF FAILURE TO COMPLY WITH SECTION 13(D) OF THE SECURITIES EXCHANGE ACT OF 1934 ("EXCHANGE ACT") AND RULE 13D-1 THEREUNDER.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Settled
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	Yes
<b>Resolution Date:</b>	08/17/1988
<b>Sanctions Ordered:</b>	Other: RETAIN COUNSEL TO REVIEW EXISTING PROCEDURES AND MAKE RECOMMENDATIONS TO STRENGTHEN COMPLIANCE WITH SECTION 13(D)AND RULE 13(D)-1 OF THE EXCHANGE ACT



## End of Report

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