



IAPD Report

GARY BRUCE GORDON

CRD# 2303217

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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

GARY BRUCE GORDON (CRD# 2303217)

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
IA	THEPARTNERS WEALTH MANAGEMENT	CRD# 314816	02/13/2026

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	18487	HOLBROOK, NY	12/01/2010 - 09/16/2024
IA	AMERICAN PORTFOLIOS ADVISORS, INC	112697	HOLBROOK, NY	11/24/2010 - 09/16/2024
B	NYLIFE SECURITIES LLC	5167	NEW YORK, NY	12/18/2009 - 02/11/2010

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

Employment 1 of 1

Firm Name: **THEPARTNERS WEALTH MANAGEMENT**
Main Address: NW CORNER OCEAN AVENUE AND MISSION STREET
SECOND LEVEL
CARMEL BY THE SEA, CA 93921
Firm ID#: 314816

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	02/13/2026

Branch Office Locations

THEPARTNERS WEALTH MANAGEMENT
Jericho, NY




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



Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	12/30/1998

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	12/24/1992

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	09/20/1995
	Uniform Securities Agent State Law Examination (S63)	Series 63	01/22/1993

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	12/01/2010 - 09/16/2024	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	CRD# 18487	HOLBROOK, NY
IA	11/24/2010 - 09/16/2024	AMERICAN PORTFOLIOS ADVISORS, INC	CRD# 112697	HOLBROOK, NY
B	12/18/2009 - 02/11/2010	NYLIFE SECURITIES LLC	CRD# 5167	NEW YORK, NY
IA	08/31/2006 - 12/04/2008	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	01/04/2001 - 12/04/2008	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	09/16/2004 - 03/03/2006	MONY SECURITIES CORPORATION	CRD# 4386	NEW YORK, NY
B	10/21/1997 - 08/01/2000	PRUDENTIAL INVESTMENT MANAGEMENT SERVICES LLC	CRD# 18353	NEWARK, NJ
B	08/13/1996 - 10/16/1996	GRUNTAL & CO. INCORPORATED	CRD# 372	NEW YORK, NY
B	08/09/1993 - 07/02/1996	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	04/27/1993 - 07/12/1993	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	CRD# 7059	NEW YORK, NY
B	01/04/1993 - 03/02/1993	GREENWAY CAPITAL CORP.	CRD# 25152	NEW YORK CITY, 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
03/2026 - Present	ThePARTNERS Wealth Management	President	Y	Carmel By The Sea, CA, United States
10/2025 - 03/2026	ThePARTNERS Wealth Management	Support Specialist	Y	Carmel By The Sea, CA, United States
06/2025 - 10/2025	ThePARTNERS Wealth Management	Consultant	Y	Carmel By The Sea, CA, United States
09/2024 - 06/2025	Hilton Capital Management	Director of Business Development	Y	Garden City, NY, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2010 - 09/2024	AMERICAN PORTFOLIOS FINANICAL SERVICES, INC.	REGISTERED REP	Y	HOLBROOK, 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.

No information reported.



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:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	Cease and Desist
Date Initiated:	07/11/2025
Docket/Case Number:	3-22490
Employing firm when activity occurred which led to the regulatory action:	American Portfolios Advisors Inc. and American Portfolios Financial Services, Inc.
Product Type:	No Product
Allegations:	The Securities and Exchange Commission ("Commission") deems it appropriate and in the public interest that public administrative and cease-and-desist proceedings be, and hereby are, instituted against Gary Bruce Gordon ("Respondent" or "Gordon"). Respondent has submitted an Offer of Settlement (the "Offer") which the Commission has determined to accept. The Commission finds that these proceedings arise out of former registered investment adviser American Portfolios Advisors Inc.'s ("APA") production of backdated documents purportedly documenting APA's annual review of its compliance policies and procedures to the Commission during the course of a compliance examination of APA that began in May 2021. Rather than responding that APA did not have any records responsive to the staff's request, APA's chief compliance officer (CCO) created three documents which were styled as "Annual Compliance Calendars" and purported to memorialize contemporaneous annual compliance reviews for the years 2018, 2019, and 2020. These documents were laid out in a checklist-like format listing compliance items to be completed, the frequency with which they should be completed, and a blank field to denote when the item had been completed, all of which were filled in by the CCO as completed during the



respective years. The CCO signed and backdated the documents to 2018, 2019, and 2020, and presented them to Gordon for signature. Gordon signed and backdated his signature on each of the documents. APA, through the CCO, provided the backdated documents to Commission staff. As a result of his conduct, Gordon willfully aided and abetted and caused APA's violation of Section 204(a) of the Advisers Act and Rule 204-2(a)(17)(ii) thereunder.

Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	07/11/2025
Sanctions Ordered:	Cease and Desist Censure Civil and Administrative Penalty(ies)/Fine(s)
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	Yes
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	No



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

Yes

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

No

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$20,000.00

Portion Levied against individual: \$20,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement

As a result of his conduct, Gordon willfully aided and abetted and caused APA's violation of Section 204(a) of the Advisers Act and Rule 204-2(a)(17)(ii) thereunder. Accordingly, it is hereby ordered that Gordon cease and desist from committing or causing any violations and any future violations of Section 204(a) of the Advisers Act, and Rule 204-2 thereunder; is censured; and shall pay a civil money penalty of \$20,000 to the SEC for transfer to the general fund of the U.S. Treasury.



Reporting Source:	Individual
Regulatory Action Initiated By:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	Cease and Desist Censure Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	03/10/2025
Docket/Case Number:	3-22490
Employing firm when activity occurred which led to the regulatory action:	American Portfolios Advisors, Inc.
Product Type:	No Product
Allegations:	The SEC alleged that, during a regulatory examination of American Portfolios Advisors, Inc., the CCO produced compliance documents that were created and backdated to appear as contemporaneous annual compliance reviews for prior years. The SEC alleged that, as a senior executive, the respondent signed the backdated documents, which were then provided to SEC staff. The matter was resolved through an administrative order.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	07/11/2025
Sanctions Ordered:	Cease and Desist Censure Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$20,000.00
Portion Levied against individual:	\$20,000.00
Payment Plan:	None
Is Payment Plan Current:	No
Date Paid by individual:	07/22/2025
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	Gary Gordon (the "Respondent") signed the backdated compliance documents at the request of the Chief Compliance Officer (the "CCO") at American Portfolios



Advisors, Inc. The CCO provided the backdated documents to Commission staff without the Respondent's knowledge. Subsequently, during testimony, Respondent's CCO voluntarily admitted that he had created and backdated the documents.



End of Report

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