



IAPD Report

Carl G Gordinier

CRD# 2365435

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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

Carl G Gordinier (CRD# 2365435)

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 **02/04/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	11/03/1998
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	01/02/2008

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **49** 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
IA	MERRILL LYNCH PIERCE FENNER & SMITH INC.	7691	WAYNE, PA	05/15/2000 - 12/31/2006
B	DONALD & CO. SECURITIES INC.	7776	TINTON FALLS, NJ	09/22/1994 - 10/23/1998
B	L.C. WEGARD & CO., INC.	3722	NEW YORK, NY	08/03/1993 - 09/21/1994

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
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 **49** jurisdiction(s) and 6 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
Main Address: ONE BRYANT PARK
NEW YORK, NY 10036
Firm ID#: 7691

Regulator	Registration	Status	Date
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	05/13/2014
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	05/13/2014
B Cboe Exchange, Inc.	General Securities Representative	Approved	11/03/1998
B FINRA	General Securities Representative	Approved	11/04/1998
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B New York Stock Exchange	General Securities Representative	Approved	11/05/1998
B Alabama	Agent	Approved	07/16/2009
B Alaska	Agent	Approved	12/17/2000
B Arizona	Agent	Approved	04/21/1999
B Arkansas	Agent	Approved	01/17/2025
B California	Agent	Approved	11/04/1998
B Colorado	Agent	Approved	11/10/1998
B Connecticut	Agent	Approved	11/25/1998



Qualifications

Regulator	Registration	Status	Date
B Delaware	Agent	Approved	01/15/1999
B District of Columbia	Agent	Approved	04/23/2009
B Florida	Agent	Approved	11/13/1998
B Georgia	Agent	Approved	01/27/2003
B Hawaii	Agent	Approved	11/12/2024
B Idaho	Agent	Approved	03/03/2023
B Illinois	Agent	Approved	06/19/2007
B Indiana	Agent	Approved	10/25/2013
B Iowa	Agent	Approved	12/05/2007
B Kansas	Agent	Approved	01/24/2007
B Kentucky	Agent	Approved	11/22/2010
B Maine	Agent	Approved	01/17/2001
B Maryland	Agent	Approved	05/16/2000
B Massachusetts	Agent	Approved	05/31/2000
B Michigan	Agent	Approved	11/10/1998
B Minnesota	Agent	Approved	01/30/2009
B Mississippi	Agent	Approved	10/18/2012
B Missouri	Agent	Approved	02/28/2003
B Montana	Agent	Approved	07/24/2015



Qualifications

	Regulator	Registration	Status	Date
B	Nevada	Agent	Approved	12/17/2000
B	New Hampshire	Agent	Approved	10/22/2013
B	New Jersey	Agent	Approved	11/17/1998
IA	New Jersey	Investment Adviser Representative	Approved	04/23/2021
B	New Mexico	Agent	Approved	01/13/2009
B	New York	Agent	Approved	11/19/1998
B	North Carolina	Agent	Approved	11/20/1998
B	Ohio	Agent	Approved	06/25/1999
B	Oklahoma	Agent	Approved	09/06/2013
B	Oregon	Agent	Approved	01/12/2007
B	Pennsylvania	Agent	Approved	11/04/1998
IA	Pennsylvania	Investment Adviser Representative	Approved	06/28/2010
B	Puerto Rico	Agent	Approved	02/15/2006
B	Rhode Island	Agent	Approved	02/13/2013
B	South Carolina	Agent	Approved	11/19/1998
B	South Dakota	Agent	Approved	02/04/2026
B	Tennessee	Agent	Approved	09/15/2003
B	Texas	Agent	Approved	01/02/2008
IA	Texas	Investment Adviser Representative	Restricted	01/02/2008



Qualifications

Regulator	Registration	Status	Date
		Approval	
B Utah	Agent	Approved	09/06/2013
B Vermont	Agent	Approved	02/24/2017
B Virginia	Agent	Approved	07/26/2000
B Washington	Agent	Approved	11/06/2006
B West Virginia	Agent	Approved	05/25/2018
B Wisconsin	Agent	Approved	12/19/2000
B Wyoming	Agent	Approved	04/26/2019

Branch Office Locations

**MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED**
724 W LANCASTER AVE
WAYNE, PA 19087



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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	08/02/1993
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State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	08/11/1993
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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	05/15/2000 - 12/31/2006	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	WAYNE, PA
B	09/22/1994 - 10/23/1998	DONALD & CO. SECURITIES INC.	CRD# 7776	TINTON FALLS, NJ
B	08/03/1993 - 09/21/1994	L.C. WEGARD & CO., INC.	CRD# 3722	NEW YORK, 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
07/2011 - Present	Bank of America, N.A.	Senior Financial Advisor	Y	WAYNE, PA, United States
10/1998 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	NOT PROVIDED	Y	WAYNE, PA, 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.

I*134148For profit or not for profit: Non-Profit OrganizationName of outside business organization: Main Line Echapter of the Exit Planning InstituteInvestment related: NAddress of business: Wayne, Pennsylvania 19087Nature of business: Cooperative,Position, title, association: Advisory Board Member, Start date of relationship: 1/1/2021Number of hours devoted: 2 hour(s) MonthlyNumber of hours devoted during trading hours: 0Duties: Netowrk of business professionals that will counsel business owners in making their businesses marketableI*51425FOR PROFIT OR NOT FOR PROFIT: FOR-PROFIT ORGANIZATIONNAME OF OUTSIDE BUSINESS ORGANIZATION: WIDENER UNIVERSITY ADVISORY BOARDINVESTMENT RELATED: NADDRESS OF BUSINESS: CHESTER, PENNSYLVANIA 19013NATURE OF BUSINESS: UNIVERSITY,POSITION, TITLE, ASSOCIATION: ADVISORY BOARD MEMBER, START DATE OF RELATIONSHIP: 1/1/2013NUMBER OF HOURS DEVOTED: 3 HOUR(S) MONTHLYNUMBER OF HOURS DEVOTED DURING TRADING HOURS: 0DUTIES: INPUT FOR FINANCIAL CURRICULUMI*48601FOR PROFIT OR NOT FOR PROFIT: FOR-PROFIT ORGANIZATIONNAME OF OUTSIDE BUSINESS ORGANIZATION: TARA L GORDINIERINVESTMENT RELATED: YADDRESS OF BUSINESS:EXTON, PENNSYLVANIA 19341NATURE OF BUSINESS: OTHER, REAL ESTATEPOSITION, TITLE, ASSOCIATION: OTHER, LANDLORDSTART DATE OF RELATIONSHIP: 40921NUMBER OF HOURS DEVOTED: 1 HOUR(S) ANNUALLYNUMBER OF HOURS DEVOTED DURING TRADING HOURS: 0DUTIES: PURCHASES AND SALESI*33763FOR PROFIT OR NOT FOR PROFIT: FOR-PROFIT ORGANIZATIONNAME OF OUTSIDE BUSINESS ORGANIZATION: CCA MANAGEMENTINVESTMENT RELATED: NADDRESS OF BUSINESS:EXTON, PENNSYLVANIA 19341NATURE OF BUSINESS: OTHER,REAL ESTATEPOSITION, TITLE, ASSOCIATION: OWNER, START DATE OF RELATIONSHIP: 0001-01-01NUMBER OF HOURS DEVOTED: 10 HOUR(S) MONTHLYNUMBER OF HOURS DEVOTED DURING TRADING HOURS: 0DUTIES: LIMITED PARTNERI*96500FOR PROFIT OR NOT FOR PROFIT: NON-PROFIT ORGANIZATIONNAME OF OUTSIDE BUSINESS ORGANIZATION: MAKE A WISH FOUNDATIONINVESTMENT RELATED: NADDRESS OF BUSINESS:BLUE BELL, PENNSYLVANIA 19422NATURE OF BUSINESS: CHARITABLE ORGANIZATION,POSITION, TITLE, ASSOCIATION:



Registration & Employment History



OTHER BUSINESS ACTIVITIES

DIRECTOR, START DATE OF RELATIONSHIP: 9/1/2016NUMBER OF HOURS DEVOTED: 5 HOUR(S) QUARTERLYNUMBER OF HOURS DEVOTED DURING TRADING HOURS: 0DUTIES: BOARD POSITION. CONSULT ON ALL BUSINESS RELATED ACTIVITIES AS WELL AS FINANCIAL AND NON FINANCIAL DECISIONS MADE BY THE ORGANIZATIONI*2137267, Entity Type, Name of OBA: Rental Property 1 Address: islamorada Florida 30336 Investment Related: No Position, Title, Association: Co-owner with other family members Employee Start Date:05/01/2024 No Hours: 20 yearly No Hours during trading:0 Duties:I*3184269Entity Type: N/AName of OBA: T GAddress: exton, Pennsylvania, 19341Investment Related: NoPosition, Title, Association: Power of AttorneyEmployee Start Date: 10/01/2025Number of Hours: 1, MonthlyNumber of Hours during trading: 0, MonthlyDuties: Power of Attorney for Spouse

I*3184313

Entity Type: Entity For Profit

Name of OBA: Proxi

Address: exton, Pennsylvania, 19341

Investment Related: No

Position, Title, Association: Director

Employee Start Date: 11/19/2025

Number of Hours: 2, Weekly

Number of Hours during trading: 0, Weekly

Duties: I will be an investor in an app created by my son and and other computer scientists. The goal is to create the app and sell it to PE or a other party I am a passive investor but will be a board member once the app is created and governance is set up



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
Customer Dispute	1

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: Regulator

Employing firm when activities occurred which led to the complaint: L.C. WEGARD & CO., INC.

Allegations: SUITABILITY; MISREPRESENTATION

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$9,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #95-01790](#)

Date Notice/Process Served: 07/05/1995

Arbitration Pending? No

Disposition: Award

Disposition Date: 10/30/1995

Disposition Detail: THE RESPONDENTS ARE JOINTLY AND SEVERALLY LIABLE AND SHALL PAY TO THE CLAIMANT \$4,125.00 IN ACTUAL DAMAGES.

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: L.C. WEGARD & CO., INC.



Allegations: CUSTOMER ALLEGES THAT MISREPRESENTATION RESULTED IN DAMAGES OF APPROXIMATELY \$9,000.

Product Type:

Alleged Damages: \$9,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/30/1995

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD; 95-01790](#)

Date Notice/Process Served: 07/05/1995

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 10/30/1995

Monetary Compensation Amount: \$4,200.00

Individual Contribution Amount:

Firm Statement PENDING
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: L.C. WEGARD & CO., INC.

Allegations: SUITABILITY; MISREPRESENTATION; ALLEGED DAMAGES OF \$4,500.00

Product Type:

Alleged Damages: \$9,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/30/1995

Settlement Amount:



**Individual Contribution
Amount:**

Arbitration Information

**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** [NASD; 95-01790](#)

Date Notice/Process Served: 07/05/1995

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 10/30/1995

**Monetary Compensation
Amount:** \$4,200.00

**Individual Contribution
Amount:**

Broker Statement

ACTUAL/COMPENSATORY DAMAGES RELIEF HAD BEEN AWARDED IN THE AMOUNT OF \$4,125.00, JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF HAD BEEN AWARDED IN THE AMOUNT OF \$75.00, JOINTLY AND SEVERALLY.
[CUSTOMER] ARBITRATED AGAINST L.C. WEGARD. I WAS ALREADY AN EMPLOYEE OF DONALD AND COMPANY BY THAT TIME. THE ARBITRATION HEARING WENT ON WITHOUT MY KNOWLEDGE. L.C. WEGARD WENT OUT OF BUSINESS SEVERAL WEEKS LATER. I WAS FORCED TO PAY THE NPAID CLAIM OR SURRENDER MY LICENSE



End of Report

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