



FORM ADV PT 2 B – Brochure Supplement

March 30, 2012

Parks Capital  
141 Sully's Trail, Suite 3  
Pittsford, New York 14534

(585) 248-5700  
(877) 416-5700

[www.parkscapital.com](http://www.parkscapital.com)

This brochure supplement provides information about Gina Griffo and Rajiv Dixit that supplements the Parks Capital brochure. You should have received a copy of that brochure. Please contact Gina Griffo at 585-248-5700 or at [support@rpigllc.com](mailto:support@rpigllc.com) if you did not receive Parks Capital's brochure or if you have any questions about the contents of this supplement. Additional information about Gina Griffo and Rajiv Dixit is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

Gina Griffo - Chief Executive Officer

Age 42

---

Gina Griffo started her financial services career as a portfolio management associate in the Pittsford branch of Smith Barney in 1998. At Smith Barney, Gina acquired extensive experience in fixed income portfolio management, high net worth client financial planning and financial services back office operations. During her 7 years at Smith Barney Gina successfully managed investment planning, strategic marketing and operational projects.

Gina has also played a key role in the executive committee of WXXI Public Broadcasting Service since 2005. Every year Gina helps organize a women's health conference in Rochester NY.

In November of 2005, Gina joined the team at Parks Capital LLC in serving its client base as Executive Vice President. In this role Gina focuses on the client relations and financial planning processes. She is responsible to perform the complex task of understanding each client's financial situation in its entirety and then working with the investment management team to find adequate solutions that meet the client's financial goals.

Gina's life long dedication towards achieving client's financial goals by planning diligently for it, makes this position a perfect match for her dynamic and friendly personality.

Gina holds Series 7, 63, 65, Life Accident and Health Insurance licenses to serves the clients to the best of her abilities and as per industry standards and regulations.

Rajiv Dixit - Chief Investment Officer

Age 32

---

Since the beginning of his academic career at Rochester Institute of Technology, Rajiv knew that his future would be in the field of Investment Management and technology. After graduating with a degree in Finance and Management of information systems, Rajiv was selected for the competitive internship position at the Pittsford branch of Smith Barney. It was at this position that Rajiv was able successfully demonstrate his ability to use technological tools to achieve success in financial planning and investment management. Rajiv initiated and managed projects that lead to development of more efficient systems of investment management and research for financial advisors at this branch office.

It was also at Smith Barney that Rajiv was introduced to the field of Technical Analysis. Under the leadership of Ralph Parks, who at that time held the position of Sr. Vice President at Smith Barney, Rajiv learned the process of using algorithms and formulas to analyze financial products and investments for growth.

In November of 2005 Rajiv joined Parks Capital as Chief Financial Officer where he used his skills to manage internal day to day operations of the registered investment advisor. In 2007, Rajiv was promoted to the Chief Operating Officer position in the firm where he played a key role in the launch of the firm's first mutual fund advisory business.

In January of 2009 Rajiv assumed the role of lead portfolio manager for the firm's brokerage business where he led several portfolio restructuring projects for fixed income and mutual fund portfolios.

Since December 8, 2010 Rajiv has been appointed as the Chief Investment officer of Parks Capital and is directly responsible for all investment related activity in the firm.

### Item 3 Disciplinary Information

Parks Capital has had no legal or disciplinary events to disclose that are material to a client's or prospective client's evaluation of the advisory business or the integrity of management.

### Item 4 Other Business Activities

Parks Capital is a wholly owned subsidiary of Ralph Parks Investments Group, LLC.

The Adviser's clients will generally use Excel Securities. The Adviser strongly recommends this because they are the broker dealer through which the Adviser executes transactions; allocating positions on an average price and performance reporting are all consistent for its clients. Clients choosing this broker dealer will typically instruct the firm to direct portfolio transactions through Excel at a rate agreed to between the parties, or as set forth in a wrap fee arrangement.

Clients are free to choose or change broker dealers, provided that the chosen broker dealer can provide adequate services as determined by the Adviser. In the event such brokerage cannot provide such services, to be determined by Adviser, Adviser may be unable to accept management of the portfolio. A client choosing another broker dealer to direct brokerage transactions is responsible for negotiating fees or commissions with that broker dealer, unless Adviser has a wrap fee arrangement with such broker dealer. The client is responsible to independently determine whether the commissions charged or execution effected is done at rates or prices that are better than could be obtained had Adviser directed the trade. In such circumstances, the client will receive trade confirmations directly from the designated broker (or its clearing firm) and pay brokerage commissions in accordance with the designated broker's schedule of rates or whatever arrangement the client has negotiated.

The Adviser does not engage in cross trading, principal trading or in accepting soft dollar arrangements including research.

The advisory fee charged to the client is not affected by the use of a third party in connection with the client's account(s), and the client will not be assessed any additional fees for the use of such services by the Adviser. If the services of a third party are used in connection with the

client's account, the structure of the arrangement and the compensation paid to the third party will be fully disclosed to the client pursuant to Rule 206(4) of the Investment Advisers Act of 1940 and all subsequent amendments thereto.

Parks Capital has maintained a fair compensation policy for all its employees based solely of their prior experience and academic background. It is the policy of the firm not to compensate its employees based on their performance as a measure of firm's global risk management.

Compensation for Gina Griffo and Rajiv Dixit is based on a salary per their employment contracts.

The persons described in this Brochure Supplement are not actively engaged in any business or occupation for compensation other than previously mentioned unless that compensation represents less than ten percent of the persons time and income.

#### Item 5 Additional Compensation

No one who is not a client provides an economic benefit to the persons described in this brochure for providing advisory services.

#### Item 6 Supervision

The Chief Compliance Officer, Gina Griffo supervises the activities of Rajiv Dixit. She can be reached at 585-248-5700 or ggriffo@rpigllc.com.

Advise given to clients is monitored through review and approval of new account documents, investments, advisory agreements, clients communications, daily trading and notes of client meetings.

The activity of Gina Griffo is reviewed and approved by Rajiv Dixit.