



## **FORM ADV PT 2 B – Brochure Supplement**

**March 14, 2016**

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).

## **2. Educational Background and Business Experience**

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### **Gina Griffo - Chief Executive Officer**

**Age 46**

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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 from 2005-2011. Every year Gina helped organize a women's health conference in Rochester NY.

In November of 2005, Gina joined the team at Parks Capital LLC and is serving its client base as Chief Executive Officer. 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 lifelong 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 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 36**

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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.

Rajiv holds series 66, Life Accident and Health Insurance licenses to serve the clients to the best of his abilities and as per industry standards and regulations.

### **3. Disciplinary Information**

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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.

### **4. Other Business Activities**

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Ms. Griffo & Mr. Dixit are licensed insurance brokers and are affiliated with Life Mark Securities Corp. for the back office operations of their insurance business.

### **5. Additional Compensation**

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The advisors mention above do not receive compensation from any third party for their services provided to firm's clients.

### **6. Supervision**

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

Advice 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.