



FORM ADV PART 2B – Brochure Supplement

for

**Rajiv N. Dixit, CPFA ®,
CFP ®, Chief Investment
Officer**

Effective: November 18, 2024

This Form ADV Part 2B (“Brochure Supplement”) provides information about the background and qualifications of Rajiv N. Dixit, CPFA ®, CFP ® (CRD# 5144936) in addition to the information contained in the Ralph Parks Investment Group LLC, D.B.A. Parks Capital (“Parks Capital” or the “Advisor”, CRD# 138121) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Parks Capital Disclosure Brochure or this Brochure Supplement, please contact Gina M. Griffo at (585) 248-5701.

Additional information about Mr. Dixit is available on the SEC’s Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his Individual CRD# 5144936.

Item 2 – Educational Background and Business Experience

Rajiv N. Dixit, CPFA®, CFP®, born in 1979, is dedicated to advising Clients of Parks Capital as the Chief Investment Officer and Chief Operating Officer. Mr. Dixit earned a Bachelor of Science in Finance from Rochester Institute of Technology in 2001. Additional information regarding Mr. Dixit’s employment history is included below.

Employment History:

Chief Investment Officer (12/2011) and Chief Operating Officer (2/2006), Ralph Parks Investment Group LLC, D.B.A. Parks Capital	02/2006 to Present
Director, Campus Ventures LLC.	02/2004 to 02/2006

Certified Plan Fiduciary Advisor® (“CPFA®”) Credential

The Certified Plan Fiduciary Advisor credential, offered by the National Association of Plan Advisors (NAPA), was developed by some of the nation’s leading advisors and retirement plan experts. Plan advisors who earn their CPFA demonstrate the expertise required to act as a plan fiduciary or help plan fiduciaries manage their roles and responsibilities. The NAPA CPFA coursework covers four key areas: 1. ERISA Fiduciary Roles and Responsibilities; 2. ERISA Fiduciary Oversight; 3. ERISA Plan Investment Management; and 4. ERISA Plan Management. To earn the CPFA credential, candidates must pass a three hour, proctored, CPFA examination. In order to maintain the credential, holders of CPFA must earn 20 continuing education credits every two-year cycle. Two of the credits must include ethics / professionalism topics.

Certified Financial Planner ® (“CFP®”) Credential

Certified Financial Planner™ (CFP®) is a formal recognition of expertise in the areas of financial planning, taxes, insurance, estate planning, and retirement saving. Rajiv N, Dixit adheres to the CFP Board’s Standards of Professional and acknowledges his responsibility to adhere to the standards established by the CFP Board’s Standards of Professional Conduct, including the duty of care of a fiduciary, as defined by the CFP Board.

Item 3 – Disciplinary Information

On March 15, 2024, Rajiv Dixit, filed a complaint against Gina Griffo in New York State Supreme Court, Monroe County captioned Rajiv Dixit v Gina Griffo, Index No. E2024004737, alleging legal and equitable claims against Ms. Griffo in his individual capacity and on behalf of Aspire and Parks Capital. Thereafter, Ms. Griffo served an answer to the complaint, denying the allegations made by Mr. Dixit and asserting legal and equitable counterclaims against him in her individual capacity and on behalf of Aspire and Parks Capital. Mr. Dixit then filed a reply to the counterclaims, denying the allegations therein. To access documents filed on the Supreme Court’s public docket, visit <https://iapps.courts.state.ny.us/nyscef/HomePage> and search docket number E2024004737. Parks Capital has amended Item 9 of its Brochure because it believes that the litigation is material to a client’s or prospective client’s evaluation of its advisory business and the integrity of its management.

However, we do encourage you to independently view the background of Mr. Dixit on the Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his Individual CRD# 5144936.

Item 4 – Other Business Activities

Rajiv Dixit, a management person of Parks Capital, has registered a corporation, Serenity Capital Advisors, Inc., as an investment adviser with the United States Securities and Exchange Commission (Commission), SEC #801-130917, CRD #332396. In the application of Serenity Capital Advisors, Inc., for registration as an investment adviser with the Commission, Mr. Dixit made certain representations to the Commission relating to his status as a “control” person of Parks Capital. See Schedule D of Part 1A of the Serenity Capital Advisors, Inc. Form ADV. Specifically, Mr. Dixit stated that he intends to relinquish his control in Parks Capital and transfer his client assets to his solely owned RIA Serenity Capital Advisors Inc. Mr. Dixit plans to complete this transfer and relinquish his registration with Parks Capital upon successful registration of the new firm.

A webpage on the internet indicates that the Serenity Capital Advisors, Inc. website is coming soon. As of this date, Mr. Dixit remains a “control” person of both Serenity Capital Advisors, Inc. and Parks Capital. Mr. Dixit’s status as a “control” person means that he has the power, directly or indirectly, to direct the management or policies of both entities, whether through ownership of securities, by contract, or otherwise.

Item 5 – Additional Compensation

Mr. Dixit does not receive any additional forms of compensation.

Item 6 – Supervision

Mr. Dixit serves as the Chief Investment Officer and Chief Operating Officer of Parks Capital and is supervised by Gina Griffo, the Chief Executive Officer. Ms. Griffo can be reached at (585) 248-5701.

Parks Capital has implemented a Code of Ethics, an internal compliance document that guides each Supervised Person in meeting their fiduciary obligations to Clients of Parks Capital. Further, Parks Capital is subject to regulatory oversight by various agencies. These agencies require registration by Parks Capital and its Supervised Persons. As a registered entity, Parks Capital is subject to examinations by regulators, which may be announced or unannounced. Parks Capital is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.



FORM ADV PART 2 B – Brochure Supplement

for

**Gina M. Griffo, CPFA®
Chief Executive Officer and Chief Compliance Officer**

Effective: November 18, 2024

This Form ADV Part 2B (“Brochure Supplement”) provides information about the background and qualifications of Gina M. Griffo, CPFA®, (CRD# 3046431) in addition to the information contained in the Ralph Parks Investment Group LLC, D.B.A. Parks Capital (“Parks Capital” or the “Advisor”, CRD# 138121) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Parks Capital Disclosure Brochure or this Brochure Supplement, please contact us at (585) 248-5701.

Additional information about Ms. Griffo is available on the SEC’s Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with her full name or her Individual CRD# 3046431.

Item 2 – Educational Background and Business Experience

Gina M. Griffo, CPFA®, born in 1969, is dedicated to advising Clients of Parks Capital as the Chief Executive Officer and Chief Compliance Officer. Ms. Griffo attended The University of Rochester. Additional information regarding Ms. Griffo’s employment history is included below.

Employment History:

Chief Executive Officer (12/2011) and Chief Compliance Officer (11/2005), Ralph Parks Investment Group LLC, D.B.A. Parks Capital	11/2005 to Present
Investment Management Analyst, Smith Barney	03/1998 to 11/2005

Certified Plan Fiduciary Advisor® (“CPFA®”) Credential

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Item 3 – Disciplinary Information

On March 15, 2024, Mr. Dixit filed a complaint in New York State Supreme Court, Monroe County captioned Rajiv Dixit v Gina Griffo, Index No. E2024004737, (Complaint), alleging legal and equitable claims against Ms. Griffo. Thereafter, Ms. Griffo filed an answer to the Complaint, denying the allegations made by Mr. Dixit (Answer) and filed a counterclaim asserting legal and equitable counterclaims against him (Counterclaim). Mr. Dixit then filed an Answer to Ms. Griffo’s Counterclaim denying the allegations therein. Parks Capital has amended this Item 3 of Ms. Griffo’s Part 2B the Brochure Supplement because it believes that the litigation is material to a client’s or prospective client’s evaluation of its advisory business and the integrity of its management. Additional information about the litigation can be found on the website of NYSCEF. <https://iapps.courts.state.ny.us/nyscef/HomePage>.

However, we do encourage you to independently view the background of Ms. Griffo on the Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with her full name or her Individual CRD# 3046431.

Item 4 – Other Business Activities

Insurance Agency Affiliations

Ms. Griffo is also a licensed insurance professional. Implementations of insurance recommendations are separate and apart from Ms. Griffo’s role with Parks Capital. As an insurance professional, Ms. Griffo donates her commissions and other related revenues from the various insurance companies whose products are sold to Parks Capital. Ms. Griffo is not required to offer the products of any particular insurance

company. Commissions generated by insurance sales do not offset regular advisory fees. This presents a conflict of interest in recommending certain products of the insurance companies. Clients are under no obligation to implement any recommendations made by Ms. Griffo or the Advisor.

Item 5 – Additional Compensation

Ms. Griffo has additional business activities where she donates any compensation received which is detailed in Item 4 above.

Item 6 – Supervision

Ms. Griffo serves as the Chief Executive Officer and Chief Compliance Officer of Parks Capital and can be reached at (585) 248-5701.

Parks Capital has implemented a Code of Ethics, an internal compliance document that guides each Supervised Person in meeting their fiduciary obligations to Clients of Parks Capital. Further, Parks Capital is subject to regulatory oversight by various agencies. These agencies require registration by Parks Capital and its Supervised Persons. As a registered entity, Parks Capital is subject to examinations by regulators, which may be announced or unannounced. Parks Capital is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.