



IAPD Report

THOMAS ROY MAZZA

CRD# 1091453

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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

THOMAS ROY MAZZA (CRD# 1091453)

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 **06/10/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	PREMIER ESTATE PLANNERS, LLC	CRD# 122638	12/01/2011

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
IA	SECURE ASSET MANAGEMENT, L.L.C.	144046	Clinton Twp, MI	09/14/2022 - 05/14/2025
B	EAST - WEST CAPITAL CORPORATION	16348	Clinton Twp, MI	12/14/1995 - 03/05/1997
B	TWC CAPITAL CORP.	17981	NEW PALTZ, NY	09/15/1995 - 12/05/1995

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
Termination	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: **PREMIER ESTATE PLANNERS, LLC**

Main Address: 16950 19 MILE RD
SUITE 4
CLINTON TOWNSHIP, MI 48038

Firm ID#: 122638

Regulator	Registration	Status	Date
IA Michigan	Investment Adviser Representative	Approved	12/01/2011

Branch Office Locations

PREMIER ESTATE PLANNERS, LLC

16950 19 MILE ROAD
SUITE 4
CLINTON TOWNSHIP, MI 48038



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
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	09/15/1988

General Industry/Product Exams

Exam	Category	Date
 Direct Participation Programs Representative Examination (S22)	Series 22	07/11/1996
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/27/1983

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	11/21/2011
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/02/1983

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	09/14/2022 - 05/14/2025	SECURE ASSET MANAGEMENT, L.L.C.	CRD# 144046	Clinton Twp, MI
B	12/14/1995 - 03/05/1997	EAST - WEST CAPITAL CORPORATION	CRD# 16348	
B	09/15/1995 - 12/05/1995	TWC CAPITAL CORP.	CRD# 17981	NEW PALTZ, NY
B	01/03/1994 - 09/01/1995	MARINER FINANCIAL SERVICES, INC.	CRD# 8292	LARGO, FL
B	01/04/1993 - 12/31/1993	IFG NETWORK SECURITIES, INC.	CRD# 19948	ATLANTA, GA
B	01/10/1992 - 12/31/1992	PLANNED INVESTMENTS INC.	CRD# 5066	ATLANTA, GA
B	07/28/1983 - 01/15/1992	FIRST AMERICAN NATIONAL SECURITIES, INC.	CRD# 10111	DULUTH, GA

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
07/2002 - Present	PREMIER ESTATE PLANNERS, LLC	MANAGING MEMBER	Y	CLINTON TOWNSHIP, MI, United States
02/1982 - Present	A L WILLIAMS	OTHER - SALES SUPERVISOR	N	SOUTHFIELD, MI, United States
09/2022 - 05/2025	SECURE ASSET MANAGEMENT, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	CLINTON TOWNSHIP, MI, 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.

Licensed Insurance Agent; Macomb Marketing LLC



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
Termination	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: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 04/17/1996

Docket/Case Number: C8A960025

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Decision

Resolution Date: 04/07/1997

Sanctions Ordered:
Bar
Censure
Monetary/Fine \$56,300.00

Other Sanctions Ordered:

Sanction Details:

**Regulator Statement**

COMPLAINT NO. C8A960025 FILED APRIL 17, 1996 BY DISTRICT NO. 8 AGAINST RESPONDENT THOMAS ROY MAZZA ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1 AND 40 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT MAZZA PARTICIPATED IN PRIVATE SECURITIES TRANSACTIONS AND FAILED AND NEGLECTED TO GIVE HIS MEMBER FIRM PRIOR WRITTEN NOTICE OF, AND TO OBTAIN FROM THE FIRM PRIOR WRITTEN AUTHORIZATION TO ENGAGE IN SUCH ACTIVITIES; AND, FAILED TO RESPOND TO NASD REQUESTS FOR INFORMATION MADE PURSUANT TO ARTICLE IV, SECTION 5 OF THE RULES OF FAIR PRACTICE.

DECISION RENDERED FEBRUARY 19, 1997, WHEREIN RESPONDENT MAZZA IS CENSURED, FINED \$56,300, BARRED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY AND ASSESSED COSTS OF \$433. THE COMMITTEE DISMISSED A PORTION OF THE ALLEGATIONS IN THE FIRST CAUSE OF COMPLAINT. THE SECOND CAUSE OF COMPLAINT CONCERNING FAILURE TO RESPOND WAS DISMISSED IN THAT THE RECORD SHOWS THAT RESPONDENT MAZZA DID RESPOND TO THE REQUEST FOR INFORMATION. IF NO FURTHER ACTION, DECISION IS FINAL APRIL 7, 1997.

APRIL 7, 1997 - DECISION IS FINAL.

***** FINES & COSTS NO. 97-8A-285 *****

Reporting Source: Firm

Regulatory Action Initiated By: NASD REGULATION DISTRICT 8 DBCC

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 04/17/1996

Docket/Case Number: C8A960025

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: SELLING AWAY

Current Status: Final

Resolution: Decision

Resolution Date: 04/07/1997

Sanctions Ordered:
Bar
Censure
Monetary/Fine \$56,300.00

Other Sanctions Ordered:



Sanction Details: BARRED FROM ASSOCIATION WITH ANY MEMBER IN ANY CAPACITY, FINED \$56,300.

Firm Statement Not Provided

Reporting Source: Individual

Regulatory Action Initiated By: NASD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 04/17/1996

Docket/Case Number: C8A960025

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: SELLING AWAY

Current Status: Final

Resolution: Decision

Resolution Date: 04/07/1997

Sanctions Ordered:
Bar
Censure
Monetary/Fine \$56,300.00

Other Sanctions Ordered:

Sanction Details: NA

Broker Statement
AS I STATED IN AN EARLIER RESPONSE TO NASD INVESTIGATOR, MARK TOMLIN, I HAD AN OPINION LETTER FROM AN ATTORNEY STATING THAT BEAR WAS NOT A SECURITY. I ALSO FOLLOWED THE DIRECTIONS OF MR. ROBERT VECCHIONI, A NATIONAL SALES DIRECTOR IN PRIMERICA FINANCIAL SERVICES WHO IS HIGHLY ADMIRE AS AN EXPERT IN THIS FIELD. NOBODY FROM MY FORMER BROKER DEALER EVER CAME INTO MY OFFICE TO DISCUSS MY BUSINESS ACTIVITES. UNDER OUR CURRENT BROKER DEALER, EAST WEST CAPITAL, THE LEADERSHIP IS SIGNIFICANTLY GREATER. I HAVE RECENTLY TAKEN AND PASSED THE SERIES 22 TEST WITH THE GUIDANCE OF CRAIG JANUTOL.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Individual

Firm Name: MARINER FINANCIAL SERVICES, INC.

Termination Type: Discharged

Termination Date: 08/30/1995

Allegations:
NA
SELLING AWAY VIOLATION.

Product Type:

Other Product Types:

Broker Statement

TERMINATION. NO FINES.
MARINER WAS LOOKING INTO THE NASD INVESTIGATION
REGARDING THE SELLING AWAY OF SECURITIES OF BEAR, INC. AS I
STATED IN AN EARLIER RESPONSE TO NASD INVESTIGATOR MARK
TOMLIN,
I HAD AN OPINION LETTER FROM AN ATTORNEY STATING THAT BEAR WAS
NO A SECURITY. I ALSO FOLLOWED THE DIRECTIONS OF MR. ROBERT
VECCHIONI, HIGHLY ADMIRE AS AN EXPERT IN THIS FIELD. NOBODY
FROM MARINER FINANCIAL SERVICES EVER CAME INTO MY OFFICE TO
DISCUSS MY BUSINESS ACTIVITIES. UNDER OUR CURRENT
BROKER-DEALER, EAST WEST CAPITAL, THE LEADERSHIP PROVIDED IS
SIGNIFICANTLY GREATER.



End of Report

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