



IAPD Report

THOMAS MAZZARA JR

CRD# 1294121

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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 MAZZARA JR (CRD# 1294121)

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 **05/20/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	A.G.P / ALLIANCE GLOBAL PARTNERS	CRD# 8361	10/24/2022
B	A.G.P. / ALLIANCE GLOBAL PARTNERS	CRD# 8361	10/24/2022

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **8** 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	ROYAL ALLIANCE ASSOCIATES, INC.	23131	GARDEN CITY, NY	04/26/2021 - 11/16/2022
B	ROYAL ALLIANCE ASSOCIATES, INC.	23131	GARDEN CITY, NY	08/30/2007 - 11/16/2022
B	LANTERN INVESTMENTS, INC.	30996	LAWRENCE, NY	07/29/2005 - 08/22/2007

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	2



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 8 jurisdiction(s) and 2 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **A.G.P / ALLIANCE GLOBAL PARTNERS**
Main Address: 88 POST ROAD WEST
2ND FLOOR
WESTPORT, CT 06880
Firm ID#: 8361

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	10/24/2022
B FINRA	General Securities Representative	Approved	10/24/2022
B FINRA	Invest. Co and Variable Contracts	Approved	10/24/2022
B Nasdaq Stock Market	General Securities Principal	Approved	10/24/2022
B Nasdaq Stock Market	General Securities Representative	Approved	10/24/2022
B Alabama	Agent	Approved	11/17/2022
B Alaska	Agent	Approved	03/26/2024
B California	Agent	Approved	10/24/2022
B Florida	Agent	Approved	10/24/2022
B Idaho	Agent	Approved	10/24/2022
B New Jersey	Agent	Approved	10/24/2022
B New York	Agent	Approved	10/24/2022
IA New York	Investment Adviser Representative	Approved	10/24/2022



Qualifications

Regulator	Registration	Status	Date
B North Carolina	Agent	Approved	11/17/2022

Branch Office Locations

A.G.P / ALLIANCE GLOBAL PARTNERS

40 Wall Street
New York, NY 10005



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, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	10/14/2006

General Industry/Product Exams

Exam	Category	Date
Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	03/16/1985

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	11/19/1985

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	04/26/2021 - 11/16/2022	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	GARDEN CITY, NY
B	08/30/2007 - 11/16/2022	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	GARDEN CITY, NY
B	07/29/2005 - 08/22/2007	LANTERN INVESTMENTS, INC.	CRD# 30996	LAWRENCE, NY
B	06/18/2002 - 08/03/2005	RYAN BECK & CO.	CRD# 3248	FLORHAM PARK, NJ
B	11/01/2001 - 07/15/2002	BISHOP, ROSEN & CO., INC.	CRD# 1248	NEW YORK, NY
B	09/21/1991 - 11/08/2001	JOSEPHTHAL & CO., INC.	CRD# 3227	NEW YORK, NY
B	01/18/1990 - 10/22/1991	JOSEPHTHAL & CO., INC.	CRD# 3144	
B	01/02/1990 - 01/27/1990	HANIFEN, IMHOFF SECURITIES CORP.	CRD# 10620	
B	01/13/1987 - 01/02/1990	MOORE & SCHLEY, CAMERON & CO.	CRD# 6917	
B	12/09/1985 - 06/19/1986	ROONEY, PACE INC.	CRD# 6218	
B	03/19/1985 - 12/12/1985	BROADCHILD SECURITIES CORP.	CRD# 7702	

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
08/2007 - Present	ROYAL ALLIANCE	REGISTERED REPRESENTATIVE	Y	GARDEN CITY, NY, United States



Registration & Employment History



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.

INSURANCE RELATED ACTIVITY: GROUP LIFE, GROUP HEALTH.

THOMAS MAZZARA

POSITION: Statutory Agent - NATURE: Other - Agent for multiple insurance companies INVESTMENT RELATED: No NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 20 START DATE: 02/01/2009 ADDRESS: 63 PROSPECT AVEAPARTMENT #19AHEWLETTNew York11557 DESCRIPTION: Sales



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	2

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	ROYAL ALLIANCE ASSOCIATES, INC.
Allegations:	The customer alleges that a recommendation of a non-traded REIT investment was not in keeping with his needs and objectives, and that the features and risks of the investment were not fully explained to him.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$50,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA DISPUTE RESOLUTION
Docket/Case #:	25-01166
Filing date of arbitration/CFTC reparation or civil litigation:	06/06/2025
Customer Complaint Information	
Date Complaint Received:	06/10/2025
Complaint Pending?	No



Status: Settled
Status Date: 05/19/2026
Settlement Amount: \$12,000.00
Individual Contribution Amount: \$0.00
Firm Statement The broker-dealer settled this claim to avoid the ongoing cost and uncertainty of arbitration. The representative did not participate in or contribute to the settlement in any way.

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: ROYAL ALLIANCE ASSOCIATES, INC.
Allegations: The customer alleges that a recommendation of a non-traded REIT investment was not in keeping with his needs and objectives, and that the features and risks of the investment were not fully explained to him.
Product Type: Direct Investment-DPP & LP Interests
Alleged Damages: \$50,000.00
Is this an oral complaint? No
Is this a written complaint? No
Is this an arbitration/CFTC reparation or civil litigation? Yes
Arbitration/Reparation forum or court name and location: FINRA DISPUTE RESOLUTION
Docket/Case #: 25-01166
Filing date of arbitration/CFTC reparation or civil litigation: 06/06/2025

Customer Complaint Information

Date Complaint Received: 06/10/2025
Complaint Pending? No
Status: Settled
Status Date: 05/19/2026
Settlement Amount: \$12,000.00
Individual Contribution Amount: \$0.00
Broker Statement The broker-dealer settled this claim to avoid the ongoing cost and uncertainty of arbitration. The representative did not participate in or contribute to the settlement in any way.

Disclosure 2 of 2

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: RYAN BECK & CO.

Allegations: CLIENT COMPLAINT ALLEGES UNAUTHORIZED LIQUIDATION OF BONDS BY HIS EX-WIFE IN A JOINT ACCOUNT WITH HER. EX-WIFE PLACED THE ORDER TO LIQUIDATE.

Product Type: Other

Other Product Type(s): BONDS

Alleged Damages: \$17,791.80

Customer Complaint Information

Date Complaint Received: 06/29/2005

Complaint Pending? No

Status: Denied

Status Date: 12/16/2005

Settlement Amount:

Individual Contribution Amount:

Firm Statement CLIENT COMMENCED STATE COURT ACTION AGAINST RYAN BECK & HIS EX-WIFE. NO CLAIM AGAINST BROKER.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: RYAN BECK & CO.

Allegations: ON 05/23/05 LONI LASSOFF CALLED TO SELL THE ZERO COUPON BOND IN HER JOINT ACCOUNT WITH [CUSTOMER]. ON 06/03/2005 [CUSTOMER] CALLED AND WANTED TO KNOW WHY THE BONDS WERE SOLD. I EXPLAINED THIS WAS A JOINT ACCOUNT AND LONI LASSOFF CALLED TO SELL THE INVESTMENT.

Product Type: Debt - Municipal

Alleged Damages: \$17,791.80

Customer Complaint Information

Date Complaint Received: 06/29/2005

Complaint Pending? No

Status: Denied

Status Date: 12/16/2005

Settlement Amount:

Individual Contribution Amount:

Broker Statement ON 05/25/2005 LONI LASSOFF CALLED TO SELL THE ZERO COUPON BOND IN HER JOINT ACCOUNT WITH [CUSTOMER]. ON JUNE 3, 2005 [CUSTOMER] CALLED AND WANTED TO KNOW WHY THE INVESTMENT WAS SOLD. I RESPONDED THAT THE JOINT ACCOUNT HOLDER CALLED TO SELL THE



BOND. AS PER THE SIGNED NEW ACCOUNT FORM AND JOINT AGREEMENT FORM EITHER PARTY HAS THE AUTHORITY TO BUY OR SELL FOR THE ACCOUNT UNLESS WRITTEN NOTIFICATION IS RECEIVED TO REVOKE THESE RIGHTS. NO COMMUNICATION WAS EVER RECEIVED BY ME WHICH WOULD REVOKE THIS RIGHT. AS SUCH I ACTED APPROPRIATELY BY EXECUTING THE SALE TRANSACTION IN THE ACCOUNT. I AM CONFIDENT THIS MATTER WILL BE EXPUNGED FROM MY RECORD.



End of Report

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