



IAPD Report

Scott Richard Mrozek

CRD# 2410838

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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

Scott Richard Mrozek (CRD# 2410838)

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 **08/14/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	VANDERBILT SECURITIES, LLC	CRD# 5953	09/08/2022
IA	CONSOLIDATED PORTFOLIO REVIEW CORP	CRD# 112694	09/09/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	WESTERN INTERNATIONAL SECURITIES	39262	Henderson, NV	08/21/2017 - 09/08/2022
B	WESTERN INTERNATIONAL SECURITIES, INC.	39262	Henderson, NV	08/21/2017 - 09/08/2022
IA	FINANCIAL WEST GROUP	16668	HENDERSON, NV	10/07/2010 - 08/21/2017

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	1
Judgment/Lien	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 9 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **VANDERBILT SECURITIES, LLC**
Main Address: 125 FROEHLICH FARM BLVD.
WOODBURY, NY 11797
Firm ID#: 5953

Regulator	Registration	Status	Date
B FINRA	Direct Participation Programs	Approved	09/08/2022
B FINRA	General Securities Representative	Approved	09/08/2022
B FINRA	Invest. Co and Variable Contracts	Approved	09/08/2022
B Arizona	Agent	Approved	09/22/2022
B California	Agent	Approved	09/09/2022
B Illinois	Agent	Approved	12/06/2022
B Massachusetts	Agent	Approved	08/26/2025
B Nevada	Agent	Approved	09/22/2022
B Oregon	Agent	Approved	09/14/2022
B Washington	Agent	Approved	08/16/2024
B Wisconsin	Agent	Approved	09/13/2022

Branch Office Locations

8030 E. Spouse Dr, Ste A
Prescott Valley, AZ 86314

2298 W. Horizon Rd Pkwy, Ste 106
Henderson, NV 89052



Qualifications

Employment 2 of 2

Firm Name: **CONSOLIDATED PORTFOLIO REVIEW CORP**
 Main Address: 125 FROEHLICH FARM BLVD.
 WOODBURY, NY 11797
 Firm ID#: 112694

Regulator	Registration	Status	Date
IA Arizona	Investment Adviser Representative	Approved	09/22/2022
IA Nevada	Investment Adviser Representative	Approved	09/22/2022
IA Texas	Investment Adviser Representative	Restricted Approval	09/09/2022

Branch Office Locations

CONSOLIDATED PORTFOLIO REVIEW CORP
 8030 E. Spouse Dr, STe A
 Prescott Valley, AZ 86314

CONSOLIDATED PORTFOLIO REVIEW CORP
 2298 W. Horizon Rd Pkwy Ste 106
 Henderson, NV 89052



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 0 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	01/22/2013
B Direct Participation Programs Representative Examination (S22)	Series 22	04/16/2004
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/18/1993

State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	10/06/2010
B Uniform Securities Agent State Law Examination (S63)	Series 63	12/18/1993

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	08/21/2017 - 09/08/2022	WESTERN INTERNATIONAL SECURITIES	CRD# 39262	Henderson, NV
B	08/21/2017 - 09/08/2022	WESTERN INTERNATIONAL SECURITIES, INC.	CRD# 39262	Henderson, NV
IA	10/07/2010 - 08/21/2017	FINANCIAL WEST GROUP	CRD# 16668	HENDERSON, NV
B	12/18/2003 - 08/21/2017	FINANCIAL WEST GROUP	CRD# 16668	HENDERSON, NV
B	02/03/2003 - 12/17/2003	LOCUST STREET SECURITIES, INC.	CRD# 1703	DES MOINES, IA
B	05/30/1997 - 01/31/2003	FINANCIAL WEST GROUP	CRD# 16668	RENO, NV
B	05/01/1997 - 05/23/1997	FINANCIAL WEST GROUP	CRD# 16668	
B	10/08/1996 - 05/05/1997	SEIBT FINANCIAL SERVICES, INC	CRD# 23472	LAS VEGAS, NV
B	12/20/1993 - 10/08/1996	PFS INVESTMENTS 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
09/2022 - Present	Consolidated Portfolio Review	Financial Advisor	Y	Woodbury, NY, United States
09/2022 - Present	Vanderbilt Securities, LLC	Registered Representative	Y	Woodbury, NY, United States
01/2010 - Present	National One Tax Advisors	Tax Preparer	Y	Henderson, NV, United States
08/2017 - 09/2022	Western International Securities, Inc.	Registered Representative	Y	Pasadena, CA, United States
12/2003 - 08/2017	Financial West Group	Registered Representative	Y	Westlake Village, CA, 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.

- 1) National One Tax Advisors; Non Investment-Related. Start date: 01/01/2010. Address: 2298 W. Horizon Ridge Pkwy, Ste. 106, Henderson, NV 89052; Tax Preparations Services; Part Owner
- 2) National One Insurance Advisors; Non Investment-Related; Start date: 01/01/2010. Address: 2298 W. Horizon Ridge Pkwy, Ste. 106, Henderson, NV 89052; Life Insurance & Annuity Agency; Insurance Agent/Co-Owner
- 3) National One Advisors; Investment Related; 2298 W. Horizon Ridge Pkwy, Ste 106, Henderson NV 89052; DBA name used for all securities business; part owner.
- 4) Starlight Mountain Properties LLC. Not Investment related. Start date: 04/01/2023 Address: 622 N. Parawan St Henderson Nevada, 89015. Title: Part Owner and Manager of LLC. Duties: Purchase Real Estate, Rehab properties, Co-manage AirBNB's and sell properties.. Time spent during regular hours:5%.
- 5) Luxe Cheesecakes and desserts. Not investment related. Start date: 04/05/2024. Address: 622 N Parawan St, Henderson Nevada, 89015. Title: Helper. Duties: Help with preparing the truck and moving it from different locations, I will be assisting her in running the business.. Time spent during regular hours: 0%.



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	1
Judgment/Lien	1

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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FINANCIAL WEST GROUP
Allegations:	UNSUITABLE INVESTMENT RECOMMENDATIONS IN USA CAPITAL REAL ESTATE FUNDS IN 2001 AND 2005.
Product Type:	Real Estate Security
Alleged Damages:	\$80,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	11-03553
Date Notice/Process Served:	10/26/2011
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	03/16/2012
Monetary Compensation Amount:	\$25,000.00
Individual Contribution Amount:	\$25,000.00



Broker Statement

I SETTLED THE CASE TO CLOSE THE COMPLAINT AND NOT INCUR ANY MORE LEGAL COSTS TO ARBITRATE.
INVESTMENTS WERE SUITABLE UNDER FINRA STANDARDS.



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source: Individual
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$129,258.14
Judgment/Lien Type: Tax
Date Filed with Court: 06/18/2025
Date Individual Learned: 06/19/2025
Type of Court: State Court
Name of Court: Clark County
Location of Court: Clark County Nevada
Docket/Case #: 202506180001572
Judgment/Lien Outstanding? Yes

Broker Statement

Installment agreement with the IRS was finally reestablished and set up on June 3, 2025 after many phone attempts to the IRS For monthly payments of \$2,069 starting on July 15th 2025. Confirmation was mailed out on June 12th, 2025. A letter dated 6/10/2025 was mailed but not received until June 18th 2025 stating a notice of tax lien had been filed as 06/10/2025. I believe this has crossed departments due to the fact that the installment agreement was set up on June 3, 2025. The actual Lien was placed on my residence on June 18th, 2025 after the installment agreement had been in place. I plan to appeal this Lien Filing due to the Installment agreement had been in place and the Lien was filed after that. This is one lien & one payment plan, it covers the following Tax Period Ending years: 2016 / 2018 / 2019 / 2021 / 2022/ 2023.



End of Report

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