User Guidance

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IAPD Report

MARK ANTONIO ZAGOTTI

CRD# 2534369

Section Title | **Page(s)**

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

MARK ANTONIO ZAGOTTI (CRD# 2534369)

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 **05/06/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CATHAY SECURITIES, INC.	CRD# 21821	03/06/2023
IA	NEXT GEN ADVISORS, LLC	CRD# 326144	10/04/2023
B	BLUE DIAMOND SECURITIES OF AMERICA LLC	CRD# 158821	03/18/2026

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and 4 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	EQUITABLE ADVISORS, LLC	6627	DIX HILLS, NY	02/25/2009 - 09/09/2022
B	EQUITABLE ADVISORS, LLC	6627	JERSEY CITY, NJ	04/01/2005 - 09/09/2022
B	MML INVESTORS SERVICES, INC.	10409	SPRINGFIELD, MA	12/04/2001 - 03/07/2005

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
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 **4** jurisdiction(s) and 4 SRO(s) through his or her employer(s).

Employment 1 of 3

Firm Name: **BLUE DIAMOND SECURITIES OF AMERICA LLC**

Main Address: 40 WALL ST
STE 2931
NEW YORK, NY 10005

Firm ID#: 158821

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	03/18/2026
B	FINRA	General Securities Representative	Approved	03/18/2026
B	FINRA	Municipal Securities Principal	Approved	03/18/2026
B	FINRA	Municipal Securities Representative	Approved	03/18/2026
B	FINRA	Registered Options Principal	Approved	03/18/2026
B	NYSE American LLC	General Securities Principal	Approved	03/18/2026
B	NYSE American LLC	General Securities Representative	Approved	03/18/2026
B	NYSE American LLC	Municipal Securities Principal	Approved	03/18/2026
B	NYSE American LLC	Municipal Securities Representative	Approved	03/18/2026
B	NYSE American LLC	Registered Options Principal	Approved	03/18/2026
B	Nasdaq Stock Market	General Securities Principal	Approved	03/18/2026
B	Nasdaq Stock Market	General Securities Representative	Approved	03/18/2026
B	Nasdaq Stock Market	Registered Options Principal	Approved	03/18/2026

Qualifications

	Regulator	Registration	Status	Date
B	New York Stock Exchange	General Securities Principal	Approved	03/18/2026
B	New York Stock Exchange	General Securities Representative	Approved	03/18/2026
B	New York Stock Exchange	Municipal Securities Principal	Approved	03/18/2026
B	New York Stock Exchange	Municipal Securities Representative	Approved	03/18/2026
B	New York	Agent	Approved	04/07/2026

Branch Office Locations

40 WALL ST
STE 2931
NEW YORK, NY 10005

Employment 2 of 3

Firm Name: **CATHAY SECURITIES, INC.**

Main Address: 40 WALL STREET
SUITE 3600
NEW YORK, NY 10005

Firm ID#: 21821

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	03/06/2023
B	FINRA	General Securities Representative	Approved	03/06/2023
B	FINRA	Municipal Securities Principal	Approved	03/06/2023
B	FINRA	Municipal Securities Representative	Approved	03/06/2023
B	FINRA	Registered Options Principal	Approved	03/06/2023
B	Indiana	Agent	Approved	10/31/2024
B	New Hampshire	Agent	Approved	07/02/2024

Qualifications

	Regulator	Registration	Status	Date
B	New Jersey	Agent	Approved	03/10/2023
B	New York	Agent	Approved	03/07/2023

Branch Office Locations

40 WALL STREET
SUITE 3600
NEW YORK, NY 10005

40 WALL STREET
SUITE-3600
NEW YORK, NY 10005

Employment 3 of 3

Firm Name: **NEXT GEN ADVISORS, LLC**

Main Address: 40 WALL STREET
NEW YORK, NY 10005

Firm ID#: 326144

	Regulator	Registration	Status	Date
IA	New York	Investment Adviser Representative	Approved	10/04/2023

Branch Office Locations

NEXT GEN ADVISORS, LLC
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 3 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	01/02/2023
B	Registered Options Principal Examination (S4)	Series 4	02/28/2006
B	Municipal Securities Principal Examination (S53)	Series 53	07/25/2005

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	03/06/2023
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Limited Representative-Equity Trader Exam (S55)	Series 55	06/20/2001
B	General Securities Representative Examination (S7)	Series 7	09/24/1994

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	11/19/2007
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/24/2005

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	02/25/2009 - 09/09/2022	EQUITABLE ADVISORS, LLC	CRD# 6627	DIX HILLS, NY
B	04/01/2005 - 09/09/2022	EQUITABLE ADVISORS, LLC	CRD# 6627	JERSEY CITY, NJ
B	12/04/2001 - 03/07/2005	MML INVESTORS SERVICES, INC.	CRD# 10409	SPRINGFIELD, MA
B	03/14/2000 - 09/10/2001	NEBRASKA HUDSON COMPANY, INC.	CRD# 27501	OMAHA, NE
B	12/20/1999 - 03/13/2000	J.P. TURNER & COMPANY, L.L.C.	CRD# 43177	ATLANTA, GA
B	09/18/1996 - 11/26/1999	CONTINENTAL BROKER-DEALER CORP.	CRD# 14048	CARLE PLACE, NY
B	07/08/1999 - 11/19/1999	SUNPOINT SECURITIES, INC.	CRD# 25442	LONGVIEW, TX
B	05/06/1996 - 09/18/1996	MARLOWE & COMPANY	CRD# 35733	NEW YORK, NY
B	09/26/1994 - 05/14/1996	CONTINENTAL BROKER-DEALER CORP.	CRD# 14048	CARLE PLACE, NY

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
02/2026 - Present	Blue Diamond Securities of America LLC	Chief Compliance Officer	Y	New York, NY, United States
06/2023 - Present	Next GEN Advisors,LLC	Chief Executive Officer & Chief Compliance Officer	Y	New York, NY, United States
11/2022 - Present	Cathay Securities, Inc.	Chief Compliance Officer	Y	New York, NY, United States
03/2005 - 09/2022	EQUITABLE ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
03/2005 - 06/2020	AXA ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, 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.

Z Force, LLC. non-investment 35 Peppermill Lane Dix Hills NY11746 compliance consultant, Owner, 11/06/2023 (20 hours) provide BD/RIA compliance support.
Next GEN Advisors, LLC. 40 Wall Street ste. 3600 NY, NY 10005, Chief Executive Officer & Chief Compliance Officer, 06/22/2023 (20 hours) Investment Related. Z Force Capital Holdings, LLC. non-investment 35 Peppermill Lane Dix Hills NY11746 holding company for my shares of Z Force LLC and Next GEN Advisors LLC, Sole Owner, 05/06/2026 (10 hours).

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*.
    - o A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
    - o A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - o 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*.
    - o 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.
    - o 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.
    - o 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
Termination	1

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:	Firm
Firm Name:	EQUITABLE ADVISORS, LLC
Termination Type:	Discharged
Termination Date:	09/08/2022
Allegations:	Registered employee was terminated due to his violation of the Firm's policies and procedures relating to the use of social media
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	EQUITABLE ADVISORS, LLC
Termination Type:	Discharged
Termination Date:	09/08/2022
Allegations:	("Registered Employee was terminated due to his violation of the Firm's policies and procedures relating to the use of social media"),
Product Type:	No Product
Broker Statement	I discussed the U4 questions, in particular 14J(l) with Counsel. It was advised that my termination from the Equitable, as noted on the US ("Registered Employee was terminated due to his violation of the Firm's policies and procedures relating to the use of social media"), further the Equitable did not allege violations of investment-related statues, regulations, rules or industry standards. Therefore answering "yes" to 14J(l) would be inaccurate given the nature of the termination of employment from the Equitable. The use of social media was for gathering information on stocks that I held in my personal securities account that I had interest in. Neither my profile nor my posts referenced the Equitable or my former job responsibilities,

and I made no investment recommendations in any of my posts. My former job responsibilities at the Equitable did not involve sales or marketing and I did not manage any investments or any customer accounts. My use of the social media app was recreational and was a casual activity. As such, I did not believe that I was in violation of any Firm policies.

End of Report

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