

## BrokerCheck Report

### MAZZONE & ASSOCIATES, LLC

CRD# 144159

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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.

## About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - o information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - o information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

**Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at [brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit [www.finra.org](http://www.finra.org).

**MAZZONE & ASSOCIATES, LLC**

CRD# 144159

SEC# 8-67639

**Main Office Location**

75 FOURTEENTH ST., NE, SUITE 2800  
OFFICE TOWER AT FOUR SEASONS  
ATLANTA, GA 30309  
Regulated by FINRA Atlanta Office

**Mailing Address**

75 FOURTEENTH ST., NE, SUITE 2800  
OFFICE TOWER AT FOUR SEASONS  
ATLANTA, GA 30309

**Business Telephone Number**

404 574-5745

**Report Summary for this Firm**

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

**Firm Profile**

This firm is classified as a limited liability company.

This firm was formed in Georgia on 02/02/2007.

Its fiscal year ends in December.

**Firm History**

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

**Firm Operations**

**This firm is registered with:**

- the SEC
- 1 Self-Regulatory Organization
- 4 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 3 types of businesses.

This firm is not affiliated with any financial or investment institutions.

This firm does not have referral or financial arrangements with other brokers or dealers.

**Disclosure Events**

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**



## Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Georgia on 02/02/2007.

Its fiscal year ends in December.

## Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

### MAZZONE & ASSOCIATES, LLC

Doing business as MAZZONE & ASSOCIATES, LLC

CRD# 144159

SEC# 8-67639

### Main Office Location

75 FOURTEENTH ST., NE, SUITE 2800  
OFFICE TOWER AT FOUR SEASONS  
ATLANTA, GA 30309

### Regulated by FINRA Atlanta Office

### Mailing Address

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ATLANTA, GA 30309

### Business Telephone Number

404 574-5745



## Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

### Direct Owners and Executive Officers

**Legal Name & CRD# (if any):** MAZZONE, DOMINIC CHARLES

**Is this a domestic or foreign entity or an individual?** Individual

**Position** CEO/CCO/EXEC. REP/AMLCO

**Position Start Date** 02/2007

**Percentage of Ownership** 75% or more

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** SANFORD, JOSEPH STUART

5361444

**Is this a domestic or foreign entity or an individual?** Individual

**Position** FINOP & CHIEF FINANCIAL OFFICER

**Position Start Date** 10/2014

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** No

**Is this a public reporting company?** No

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## Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

## Indirect Owners

No information reported.





## Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

|                                  |                                                                                                                                                                                                                                                                                       |
|----------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>This firm was previously:</b> | MAZZONE & ASSOCIATES, INC.                                                                                                                                                                                                                                                            |
| <b>Date of Succession:</b>       | 01/01/2023                                                                                                                                                                                                                                                                            |
| <b>Predecessor CRD#:</b>         | 144159                                                                                                                                                                                                                                                                                |
| <b>Predecessor SEC#:</b>         | 8-67639                                                                                                                                                                                                                                                                               |
| <b>Description</b>               | <p>CONVERTED MAZZONE &amp; ASSOCIATES, INC. FROM AN S CORPORATION TO A LIMITED LIABILITY COMPANY AND, THEREFORE, HAD TO CHANGE THE NAME TO MAZZONE &amp; ASSOCIATES, LLC. NO ASSETS / SHARES / INTEREST OR THE LIKE WERE ACQUIRED OR SOLD. MERELY A CONVERSION.</p>                   |
| <b>This firm was previously:</b> | MAZZONE & ASSOCIATES, INC.                                                                                                                                                                                                                                                            |
| <b>Date of Succession:</b>       | 01/01/2023                                                                                                                                                                                                                                                                            |
| <b>Predecessor CRD#:</b>         | 144159                                                                                                                                                                                                                                                                                |
| <b>Predecessor SEC#:</b>         | 8-67639                                                                                                                                                                                                                                                                               |
| <b>Description</b>               | <p>THERE IS NO SUBSTANTIAL CHANGE IN OWNERSHIP AND/OR CONTROL TO MAZZONE &amp; ASSOCIATE, LLC.</p> <p>ONLY CONVERTED MAZZONE &amp; ASSOCIATES, INC. FROM AN S CORPORATION TO A LIMITED LIABILITY COMPANY AND, THEREFORE, HAD TO CHANGE THE NAME TO MAZZONE &amp; ASSOCIATES, LLC.</p> |
| <b>This firm was previously:</b> | MAZZONE & ASSOCIATES, INC.                                                                                                                                                                                                                                                            |
| <b>Date of Succession:</b>       | 01/01/2023                                                                                                                                                                                                                                                                            |
| <b>Predecessor CRD#:</b>         | 144159                                                                                                                                                                                                                                                                                |
| <b>Predecessor SEC#:</b>         | 8-67639                                                                                                                                                                                                                                                                               |
| <b>Description</b>               | <p>CONVERTED MAZZONE &amp; ASSOCIATES, INC. FROM AN S CORPORATION TO A LIMITED LIABILITY COMPANY AND, THEREFORE, HAD TO CHANGE THE NAME TO MAZZONE &amp; ASSOCIATES, LLC. NO ASSETS / SHARES / INTEREST OR THE LIKE WERE ACQUIRED OR SOLD. MERELY A CONVERSION.</p>                   |



Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

**This firm is currently registered with the SEC, 1 SRO and 4 U.S. states and territories.**

| Federal Regulator | Status   | Date Effective |
|-------------------|----------|----------------|
| SEC               | Approved | 09/25/2007     |

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer:    Yes

A broker-dealer and government securities broker or dealer:   No

A government securities broker or dealer only:    No

This firm has ceased activity as a government securities broker or dealer:   No

| Self-Regulatory Organization | Status   | Date Effective |
|------------------------------|----------|----------------|
| FINRA                        | Approved | 09/25/2007     |

Firm Operations



Registrations (continued)

| U.S. States & Territories | Status   | Date Effective |
|---------------------------|----------|----------------|
| Alabama                   | Approved | 04/06/2018     |
| Florida                   | Approved | 01/07/2008     |
| Georgia                   | Approved | 09/26/2007     |
| South Carolina            | Approved | 10/17/2007     |



## Firm Operations

### Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

**This firm currently conducts 3 types of businesses.**

#### Types of Business

Broker or dealer selling tax shelters or limited partnerships in primary distributions

Private placements of securities

Other - PROVIDES MERGER AND ACQUISITION SERVICES, INCLUDING CONSULTING. RECEIVES COMMISSIONS AND/OR REFERRAL FEES FOR INTRODUCING OTHER BROKER-DEALERS TO ISSUERS OR INVESTORS TO ISSUERS.

#### Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does not engage in other non-securities business.

Non-Securities Business Description:

## **Firm Operations**



### **Clearing Arrangements**

**This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).**

### **Introducing Arrangements**

**This firm does not refer or introduce customers to other brokers and dealers.**

## **Firm Operations**

### **Industry Arrangements**



**This firm does not have books or records maintained by a third party.**

**This firm does not have accounts, funds, or securities maintained by a third party.**

**This firm does not have customer accounts, funds, or securities maintained by a third party.**

#### **Control Persons/Financing**

**This firm does not have individuals who control its management or policies through agreement.**

**This firm does not have individuals who wholly or partly finance the firm's business.**



## Firm Operations

### Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

**This firm is not, directly or indirectly:**

- in control of
  - controlled by
  - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.**

**This firm is not directly or indirectly, controlled by the following:**

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank

**End of Report**



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