

BrokerCheck Report

MARK THOMAS MANZO

CRD# 1229739

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 10
Registration and Employment History	12 - 17
Disclosure Events	18



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:
 - 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
 - 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



For additional information about the contents of this report, please refer to the User Guidance or 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.

**MARK T. MANZO**

CRD# 1229739

Currently employed by and registered with the following Firm(s):

B BETHEL LANDING SECURITIES LLC
125 MILE COMMON RD
EASTON, CT 06612
CRD# 318565
Registered with this firm since: 08/01/2024

B ST GLOBAL MARKETS USA LLC
45 N. STATION PLAZA
STE 209
GREAT NECK, NY 11021
CRD# 324143
Registered with this firm since: 07/25/2023

B RUBINBROWN CORPORATE FINANCE, LLC
7676 FORSYTH BOULEVARD,
SUITE 2100
ST. LOUIS, MO 63105
CRD# 322460
Registered with this firm since: 04/04/2023

B LYNDHURST SECURITIES INC.
6928 OWENSMOUTH AVENUE
SUITE 200
WOODLAND HILLS, CA 91303
CRD# 315582
Registered with this firm since: 02/07/2023

This broker is currently registered with FINRA or a national securities exchange at more than four brokerage firms. Please see the Registration History section of the report for a list of these brokerage firms.

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 5 Self-Regulatory Organizations
- 2 U.S. states and territories

This broker has passed:

- 4 Principal/Supervisory Exams
- 5 General Industry/Product Exams
- 0 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

- B COMMERCE ONE FINANCIAL INC.**
CRD# 100340
SYOSSET, NY
09/2024 - 12/2024
- B FOX CHASE CAPITAL PARTNERS, LLC**
CRD# 104087
SPRINGFIELD, NJ
11/2021 - 10/2023
- B BLUEPRINT CAPITAL MARKETS**
CRD# 44323
NEWARK, NJ
09/2016 - 07/2023

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Judgment/Lien	1



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 5 SROs and is licensed in 2 U.S. states and territories through his or her employer.

Employment 1 of 12

Firm Name: **BETHEL LANDING SECURITIES LLC**

Main Office Address: **125 MILE COMMON RD
EASTON, CT 06612**

Firm CRD#: **318565**

SRO	Category	Status	Date
B FINRA	Financial and Operations Principal	Approved	08/01/2024

U.S. State/ Territory	Category	Status	Date
B Florida	Agent	Approved	09/19/2024

Branch Office Locations

BETHEL LANDING SECURITIES LLC
125 MILE COMMON RD
EASTON, CT 06612

Employment 2 of 12

Firm Name: **CF GLOBAL TRADING, LLC**

Main Office Address: **601 LEXINGTON AVENUE
29TH FLOOR
NEW YORK, NY 10022**

Firm CRD#: **104245**

SRO	Category	Status	Date
B Cboe BYX Exchange, Inc.	Financial and Operations Principal	Approved	01/06/2011
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	01/06/2011

Broker Qualifications



Employment 2 of 12, continued

SRO	Category	Status	Date
B Cboe BZX Exchange, Inc.	Financial and Operations Principal	Approved	08/04/2010
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	08/04/2010
B Cboe BZX Exchange, Inc.	Registered Options Principal	Approved	08/04/2010
B FINRA	Financial and Operations Principal	Approved	11/13/2008
B FINRA	General Securities Representative	Approved	08/02/2010
B FINRA	Registered Options Principal	Approved	08/02/2010
B FINRA	Operations Professional	Approved	10/17/2011
B Investors' Exchange LLC	Financial and Operations Principal	Approved	09/02/2016
B Investors' Exchange LLC	General Securities Representative	Approved	09/02/2016
B NYSE Arca, Inc.	Financial and Operations Principal	Approved	09/02/2016
B NYSE Arca, Inc.	General Securities Representative	Approved	09/02/2016

Branch Office Locations

CF GLOBAL TRADING, LLC

601 Lexington Avenue
Floor 29
NEW YORK, NY 10022

Employment 3 of 12

Firm Name: **FIRST OMEGA, LLC**
Main Office Address: **1270 AVENUE OF THE AMERICAS
FLOOR 7
NEW YORK, NY 10020**
Firm CRD#: **306373**



Broker Qualifications

Employment 3 of 12, continued

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	03/11/2021
B	FINRA	General Securities Principal	Approved	03/11/2021
B	FINRA	General Securities Representative	Approved	03/11/2021
B	FINRA	Operations Professional	Approved	03/11/2021
B	FINRA	Registered Options Principal	Approved	03/11/2021

Branch Office Locations

FIRST OMEGA, LLC
 1270 AVENUE OF THE AMERICAS
 FLOOR 7
 NEW YORK, NY 10020

Employment 4 of 12

Firm Name: **FOREST ROAD SECURITIES BD LLC**
 Main Office Address: **1925 CENTURY PARK EAST**
SUITE 1360
LOS ANGELES, CA 90067
 Firm CRD#: **148232**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	07/06/2015
B	FINRA	Operations Professional	Approved	07/06/2015
B	FINRA	Corporate Securities Represent	Approved	10/11/2018
B	FINRA	General Securities Principal	Approved	10/11/2018
B	FINRA	General Securities Representative	Approved	10/11/2018
B	FINRA	Introducing BD/Finan Operation Principal	Approved	10/11/2018



Broker Qualifications

Employment 4 of 12, continued

SRO	Category	Status	Date
B FINRA	Investment Banking Representative	Approved	10/11/2018
B FINRA	Registered Options Principal	Approved	10/11/2018

Branch Office Locations

FOREST ROAD SECURITIES BD LLC

1925 CENTURY PARK EAST
SUITE 1360
LOS ANGELES, CA 90067

Employment 5 of 12

Firm Name: **LYNDHURST SECURITIES INC.**

Main Office Address: **6928 OWENSMOUTH AVENUE
SUITE 200
WOODLAND HILLS, CA 91303**

Firm CRD#: **315582**

SRO	Category	Status	Date
B FINRA	Financial and Operations Principal	Approved	02/07/2023
B FINRA	Operations Professional	Approved	02/07/2023

Branch Office Locations

LYNDHURST SECURITIES INC.

6928 OWENSMOUTH AVENUE
SUITE 200
WOODLAND HILLS, CA 91303

Employment 6 of 12

Firm Name: **MENTOR SECURITIES, LLC**

Main Office Address: **200 N. WESTLAKE BOULEVARD**



Broker Qualifications

Employment 6 of 12, continued

SUITE 204
WESTLAKE VILLIAGE, CA 91362

Firm CRD#: 147682

SRO	Category	Status	Date
B FINRA	Financial and Operations Principal	Approved	10/23/2018

Branch Office Locations

MENTOR SECURITIES, LLC
200 N. WESTLAKE BOULEVARD
SUITE 204
WESTLAKE VILLIAGE, CA 91362

Employment 7 of 12

Firm Name: **RPP SECURITIES**
Main Office Address: **100 PARK AVENUE**
16TH FLOOR
NEW YORK, NY 10017
Firm CRD#: **314893**

SRO	Category	Status	Date
B FINRA	Financial and Operations Principal	Approved	08/02/2022
B FINRA	Operations Professional	Approved	08/02/2022

Branch Office Locations

RPP SECURITIES
100 PARK AVENUE
16TH FLOOR
NEW YORK, NY 10017



Broker Qualifications

Employment 8 of 12

Firm Name: **RUBINBROWN CORPORATE FINANCE, LLC**
Main Office Address: **7676 FORSYTH BOULEVARD,
SUITE 2100
ST. LOUIS, MO 63105**
Firm CRD#: **322460**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	04/04/2023
B	FINRA	Operations Professional	Approved	07/25/2024

Branch Office Locations

RUBINBROWN CORPORATE FINANCE, LLC
7676 FORSYTH BOULEVARD,
SUITE 2100
ST. LOUIS, MO 63105

Employment 9 of 12

Firm Name: **ST GLOBAL MARKETS USA LLC**
Main Office Address: **45 N. STATION PLAZA
STE 209
GREAT NECK, NY 11021**
Firm CRD#: **324143**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	07/25/2023

Branch Office Locations

ST GLOBAL MARKETS USA LLC
45 N. STATION PLAZA
STE 209
GREAT NECK, NY 11021



Broker Qualifications

Employment 10 of 12

Firm Name: **STRATOS WEALTH SECURITIES, LLC**
 Main Office Address: **3750 PARK EAST DRIVE
 SUITE 200
 BEACHWOOD, OH 44122**
 Firm CRD#: **290230**

SRO	Category	Status	Date
B FINRA	Financial and Operations Principal	Approved	03/12/2021
U.S. State/ Territory	Category	Status	Date
B Ohio	Agent	Approved	03/12/2021

Branch Office Locations

STRATOS WEALTH SECURITIES, LLC
 3750 PARK EAST DRIVE
 SUITE 200
 BEACHWOOD, OH 44122

Employment 11 of 12

Firm Name: **VENTOUX SECURITIES, LLC**
 Main Office Address: **771 INDIAN TRAIL RD
 GARDNERVILLE, NV 89460**
 Firm CRD#: **149298**

SRO	Category	Status	Date
B FINRA	Financial and Operations Principal	Approved	07/01/2022

Branch Office Locations

VENTOUX SECURITIES, LLC
 771 INDIAN TRAIL RD
 GARDNERVILLE, NV 89460



Broker Qualifications

Employment 12 of 12

Firm Name: **WHITEMARSH CAPITAL ADVISORS**
Main Office Address: **10 WHITEMARSH COURT
MARLTON, NJ 08053**
Firm CRD#: **127373**

SRO	Category	Status	Date
<div>B</div> FINRA	Financial and Operations Principal	Approved	11/19/2007
<div>B</div> FINRA	Operations Professional	Approved	10/17/2011

Branch Office Locations

WHITEMARSH CAPITAL ADVISORS
10 WHITEMARSH COURT
MARLTON, NJ 08053



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 4 principal/supervisory exams, 5 general industry/product exams, and 0 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Introducing Broker/Dealer Financial Operations Principal Examination	Series 28	01/02/2023
B Financial and Operations Principal Examination	Series 27	02/18/2000
B Registered Options Principal Examination	Series 4	04/05/1989
B General Securities Principal Examination	Series 24	09/08/1988

General Industry/Product Exams

Exam	Category	Date
B Operations Professional Examination	Series 99TO	01/02/2023
B Corporate Securities Limited Representative Examination	Series 62	01/02/2023
B Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	01/17/1987

State Securities Law Exams

Exam	Category	Date
No information reported.		

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Registration and Employment History



Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 09/2024 - 12/2024	COMMERCE ONE FINANCIAL INC.	100340	SYOSSET, NY
B 11/2021 - 10/2023	FOX CHASE CAPITAL PARTNERS, LLC	104087	SPRINGFIELD, NJ
B 09/2016 - 07/2023	BLUEPRINT CAPITAL MARKETS	44323	NEWARK , NJ
B 02/2020 - 04/2020	RUNTITLE PROPERTIES LLC	299321	AUSTIN, TX
B 12/2007 - 03/2018	CROSS RESEARCH	144823	MILLBURN, NJ
B 02/2008 - 03/2018	THS LTD.	120063	NEW YORK, NY
B 08/2017 - 12/2017	ROBERTSON STEPHENS SECURITIES	167704	SAN FRANCISCO, CA
B 06/2015 - 01/2017	LIQUIDITYEDGE, LLC.	174297	NEW YORK, NY 10018, NY
B 07/2009 - 03/2015	HALLMARK INVESTMENTS, INC.	135003	NEW YORK, NY
B 09/2008 - 05/2014	TANGENT CAPITAL PARTNERS, LLC	146999	SHORT HILLS, NJ
B 07/2010 - 11/2012	CHARLES MORGAN SECURITIES, INC.	138887	NEW YORK, NY
B 08/2006 - 11/2010	BDR RESEARCH LLC	138834	FLANDERS, NJ
B 05/2008 - 12/2009	HRH SECURITIES, LLC	104445	NEW YORK, NY
B 02/2007 - 11/2009	CAPITAL PARTNERS SECURITIES LLC	133820	NEW YORK, NY
B 03/2007 - 07/2009	GSF CAPITAL MARKETS, LLC	141097	ANDOVER, MA
B 12/2006 - 06/2009	HFG HEALTHCO SECURITIES	103831	NEW YORK, NY
B 04/2008 - 06/2009	BEDROK SECURITIES LLC	13134	RYE, NY
B 11/2006 - 03/2009	HFV INVESTMENTS, LLC	47771	NEW YORK, NY
B 02/2007 - 02/2009	BRIMBERG & CO.	1315	NEW YORK, NY
B 09/2006 - 01/2009	RAMIREZ TRADETREK SECURITIES LLC	105797	NEW YORK, NY
B 05/2007 - 11/2008	TRIPLE A PARTNERS LLC	142790	VENICE, CA
B 08/2006 - 04/2008	IFL CAPITAL LLC	127824	NEW YORK, NY



Registration and Employment History

Registration History, continued

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 02/2007 - 10/2007	MUNICIPAL PARTNERS, LLC	119992	NEW YORK, NY
B 08/2006 - 09/2007	AKROS SECURITIES, INC	103748	NEW YORK, NY
B 06/2003 - 08/2006	LIBERTAS PARTNERS LLC	124790	GREENWICH, CT
B 11/2004 - 08/2006	MS TRADE FINANCE, LLC	42485	GREENWICH, CT
B 05/2006 - 07/2006	DAVIS SECURITIES LLC	138829	NEW YORK, NY
B 02/2006 - 07/2006	BROOKE SECURITIES, INC.	19609	NEW YORK, NY
B 01/2006 - 07/2006	COMMONWEALTH AUSTRALIA SECURITIES LLC	136321	NEW YORK, NY
B 11/2005 - 07/2006	HALLMARK INVESTMENTS, INC.	135003	NEW CITY, NY
B 10/2005 - 07/2006	CREDITEX GROUP, INC.	47847	NEW YORK, NY
B 09/2005 - 07/2006	BRIMBERG & CO.	1315	NEW YORK, NY
B 09/2005 - 07/2006	IPOR CAPITAL, LLC	134751	JERICO, NY
B 07/2005 - 07/2006	VALORES FINAMEX INTERNATIONAL, INC.	26303	MAGNOLIA, TX
B 06/2005 - 07/2006	PRAETORIAN SECURITIES, LLC	133660	NEW YORK, NY
B 04/2005 - 07/2006	KAUPTHING SECURITIES, INC.	104429	NEW YORK CITY, NY
B 11/2004 - 07/2006	TRADE TREK SECURITIES, LLC	105797	NEWARK, NJ
B 08/2004 - 07/2006	WEISS INVESTMENT MANAGEMENT SERVICES, LLC	130991	NEW YORK, NY
B 06/2004 - 07/2006	DCD SECURITIES, LLC	129821	NEW YORK, NY
B 02/2004 - 07/2006	CROWN INVESTMENT BANKING, INC.	107217	NEW YORK, NY
B 12/2003 - 07/2006	IFL CAPITAL LLC	127824	NEW YORK, NY
B 11/2003 - 07/2006	HFV INVESTMENTS, INC.	47771	DALLAS, TX
B 08/2001 - 07/2006	RP&C INTERNATIONAL (SECURITIES), INC.	43573	NEW YORK, NY



Registration and Employment History

Registration History, continued

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 03/2000 - 07/2006	ARAPAH0 PARTNERS, LLC	44665	NEW YORK, NY
B 07/2005 - 07/2006	AKROS SECURITIES, INC	103748	NEW YORK, NY
B 06/2001 - 07/2006	CF GLOBAL TRADING, LLC	104245	NEW YORK, NY
B 07/2005 - 07/2006	EIM SECURITIES (USA) INC.	40065	NEW YORK, NY
B 06/2000 - 05/2006	A.K. CAPITAL, LLC	28345	NEW YORK, NY
B 03/2005 - 03/2006	VANTHEDGEPOINT SECURITIES, LLC	133097	NEW YORK, NY
B 10/2005 - 02/2006	COLEMAN BROKERAGE GROUP, LLC	135112	NEW YORK, NY
B 09/2005 - 02/2006	MAJESTIC SECURITIES LLC	135126	NEW YORK, NY
B 06/2005 - 02/2006	N.A. INVESTCORP LLC	134162	NEW YORK, NY
B 09/2005 - 11/2005	HALLMARK INVESTMENTS, INC.	135003	NEW CITY, NY
B 11/2001 - 11/2005	ACA SECURITIES, L.L.C.	113614	NEW YORK, NY
B 06/2005 - 10/2005	CREDITEX, INC.	47847	NEW YORK, NY
B 06/2005 - 07/2005	CAPITAL PARTNERS SECURITIES LLC	133820	NEW YORK, NY
B 09/2002 - 07/2005	TOMMY HORSE SECURITIES, A LIMITED LIABILITY COMPANY	120063	NEW YORK, NY
B 05/2005 - 06/2005	UBM SECURITIES, INC.	120837	NEW YORK, NY
B 05/2001 - 05/2005	MUTUAL CAPITAL CORP.	106813	RONKONKOMA, NY
B 05/2004 - 04/2005	KIM ENG SECURITIES U.S.A. INC.	27861	NEW YORK, NY
B 10/2002 - 02/2005	BMA SECURITIES	108219	EL SEGUNDO, CA
B 01/2003 - 12/2004	UFG (US) INC.	121963	NEW YORK, NY
B 07/2002 - 12/2004	GRAVITAS, LLC	119340	NEW YORK, NY
B 06/2002 - 04/2004	MUNICIPAL PARTNERS, LLC	119992	NEW YORK, NY
B 07/2003 - 11/2003	HFV INVESTMENTS, INC.	47771	DALLAS, TX



Registration and Employment History

Registration History, continued

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 12/2002 - 10/2003	MAKO GLOBAL DERIVATIVES LLC	103799	NEW YORK, NY
B 06/2002 - 10/2003	MAKO FINANCIAL MARKETS, LLC	117476	NEW YORK, NY
B 01/2002 - 10/2003	PCF PROVIDENT CAPITAL MARKETS, INC.	42442	BOSTON, MA
B 03/2001 - 10/2003	CRIMSON SECURITIES LLC	38454	NEW YORK, NY
B 09/2003 - 10/2003	A B WONG CAPITAL LLC	124360	NEW YORK, NY
B 11/2001 - 07/2003	LION'S GROUP TRADING LLC	113642	NEW YORK, NY
B 02/2001 - 05/2003	GENEVA CAPITAL CORP.	43747	NEW YORK, NY
B 01/2001 - 03/2003	EXTRAYIELD.COM LLC	104178	LONDON, ENGLAND
B 01/2002 - 12/2002	BUTLER CAPITAL INVESTMENTS, LLC	114242	OYSTER BAY, NY
B 03/2002 - 07/2002	PRESTWICK SECURITIES, INC.	28030	SKOKIE, IL
B 10/2000 - 04/2002	WAHOO INSTITUTIONAL TRADING LLC	104226	SAN DIEGO, CA
B 12/2000 - 04/2002	SONIC TECHNOLOGIES LLC	104249	ISELIN, NJ
B 05/2000 - 04/2002	SONIC TRADING, LLC	101860	NEW YORK, NY
B 01/2002 - 03/2002	RG ASSET MANAGEMENT SERVICES LIMITED USA	114008	PRINCETON, NJ
B 10/2001 - 01/2002	PRESTWICK SECURITIES, INC.	28030	SKOKIE, IL
B 01/2001 - 11/2001	CASIMIR CAPITAL L.P.	105061	GREENWICH, CT
B 01/2001 - 10/2001	CHICAGO INVESTMENT GROUP, INC.	11853	CHICAGO, IL
B 07/2001 - 07/2001	XBOND TECHNOLOGIES CORPORATION	104289	CHARLOTTE, NC
B 04/2000 - 07/2001	BRUNSWICK CAPITAL MANAGEMENT INC.	44866	NEW YORK, NY
B 02/2001 - 05/2001	XBOND TECHNOLOGIES CORPORATION	104289	CHARLOTTE, NC
B 11/1999 - 01/2001	BROOK ASSET MANAGEMENT, L.L.C.	38900	NEW YORK, NY
B 07/2000 - 09/2000	SLOAN SECURITIES CORP.	17930	ENGLEWOOD CLIFFS, NJ



Registration and Employment History

Registration History, continued

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 10/1997 - 02/1999	AMERICAN GENERAL SECURITIES INCORPORATED	13626	PHOENIX, AZ
B 02/1987 - 10/1997	USLIFE EQUITY SALES CORP.	7962	NEW YORK, NY

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
07/2023 - Present	ST Global Markets USA	FINOP	Y	Bayside, NY, United States
02/2023 - Present	LYNDHURST SECURITIES, INC.	FINOP	Y	WOODLAND HILLS, CA, United States
07/2022 - Present	Ventoux Securities LLC	FINOP	Y	Gardnerville, NV, United States
11/2021 - Present	FOX CHASE CAPTIAL PARTNERS, LLC	FINOP	Y	SPRINGFIELD, NJ, United States
05/2021 - Present	RPP Securities LLC	FINOP	Y	New York City, NY, United States
03/2021 - Present	First Omega, LLC	FINOP	Y	New York, NY, United States
03/2021 - Present	Stratos Wealth Securities, LLC	FINOP	Y	Beachwood, OH, United States
11/2018 - Present	MENTOR SECURITIES, LLC	FINOP	Y	WESTLAKE VILLIAGE, CA, United States
07/2015 - Present	FOREST ROAD SECURITIES BD LLC	FINOP	Y	LOS ANGELES, CA, United States
11/2007 - Present	WHITEMARSH CAPITAL ADVISORS	FINOP	Y	NEW YORK, NY, United States
08/2006 - Present	CF GLOBAL TRADING LLC	FINOP	Y	New York, NY, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
09/2016 - 07/2023	GOVDESK, LLC	FINOP	Y	REDONDO BEACH, CA, United States
07/2019 - 02/2020	RUNTITLE PROPERTIES, LLC	FINOP	Y	AUSTIN, TX, United States
02/2008 - 03/2018	THS. LTD	FINOP	Y	NEW YORK, NY, United States
08/2007 - 03/2018	CROSS RESEARCH GROUP LLC	FINOP	Y	LIVINGSTON, NJ, United States
10/2014 - 01/2017	LIQUIDITYEDGE LLC	FINOP	Y	NY, NY, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

MANAGING PARTNER OF MANZO CONSULTING GROUP, LLC ("MCG") WHICH ACTS AS A SERVICE PROVIDER TO FINRA MEMBER FIRMS. START DATE: 08/2009, LOCATED IN OLD BRIDGE NJ. IT IS NOT INVESTMENT-RELATED AND MY POSITION IS MANAGING PARTNER. PRACTICALLY 98% OF TIME AT MCG IS SPENT PROVIDING FINOP SERVICES TO A NUMBER OF FINRA MEMBER FIRMS.

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 -
4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Judgment/Lien	1	N/A	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 1

Reporting Source:	Broker
Judgment/Lien Holder:	STAE OF NEW JERSEY, DIVISION OF TAXATION
Judgment/Lien Amount:	\$22,802.12
Judgment/Lien Type:	Tax
Date Filed with Court:	09/08/2022
Date Individual Learned:	09/02/2022
Type of Court:	State Court
Name of Court:	SUPERIOR COURT OF NEW JERSEY
Location of Court:	MIDDLESEX COUNTY
Docket/Case #:	113,732-22
Judgment/Lien Outstanding?	Yes
Broker Statement	ENTERED INTO 60 MONTH PAYMENT PLAN. CALLED NJS IN AUGUST AND TERMS WERE TO PAY IN FULL OR IN 1 YEAR. AFTER LIEN WAS FILED THEY OFFERED ME THE 60 MONTHS 5 YEARS. I WOULD HAVE TAKEN THAT IF IT WAS OFFERED PRIOR TO FILING THE LIEN.

End of Report



This page is intentionally left blank.