

BrokerCheck Report

DANIEL ANTHONY MAZZOTTA

CRD# 1318333

| <u>Section Title</u> | <u>Page(s)</u> |
|-------------------------------------|----------------|
| Report Summary | 1 |
| Broker Qualifications | 2 - 3 |
| Registration and Employment History | 5 |
| Disclosure Events | 6 |



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.

DANIEL A. MAZZOTTA

CRD# 1318333

This broker is not currently registered.

**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 not currently registered.****This broker has passed:**

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

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

B GJL SECURITIES, INC.

CRD# 35584
NEW YORK, NY
10/2003 - 12/2003

B ELECTRONIC TRADING GROUP, LLC

CRD# 37453
NEW YORK, NY
04/2000 - 10/2001

B ON-SITE TRADING, INC.

CRD# 30271
GREAT NECK, NY
07/1998 - 05/2000

Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

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

The following types of disclosures have been reported:

| Type | Count |
|------------------|-------|
| Regulatory Event | 5 |
| Criminal | 1 |

Broker Qualifications



Registrations

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

This broker is not currently registered.

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 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

| Exam | Category | Date |
|--------------------------|----------|------|
| No information reported. | | |

General Industry/Product Exams

| Exam | Category | Date |
|--|-----------|------------|
| B Limited Representative-Equity Trader Exam | Series 55 | 02/12/1999 |
| B General Securities Representative Examination | Series 7 | 12/15/1984 |

State Securities Law Exams

| Exam | Category | Date |
|---|-----------|------------|
| B Uniform Securities Agent State Law Examination | Series 63 | 02/05/1985 |

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 securities firms:

| Registration Dates | Firm Name | CRD# | Branch Location |
|---------------------|---------------------------------|-------|-----------------|
| B 10/2003 - 12/2003 | GJL SECURITIES, INC. | 35584 | NEW YORK, NY |
| B 04/2000 - 10/2001 | ELECTRONIC TRADING GROUP, LLC | 37453 | NEW YORK, NY |
| B 07/1998 - 05/2000 | ON-SITE TRADING, INC. | 30271 | GREAT NECK, NY |
| B 02/1998 - 06/1998 | U.S. TRADING CORP. | 37426 | NEW YORK, NY |
| B 03/1996 - 02/1998 | VISTA SECURITIES INC. | 36706 | GARDEN CITY, NY |
| B 05/1994 - 01/1996 | JOSEPH STEVENS & COMPANY, L.P. | 35459 | BROOKLYN, NY |
| B 05/1992 - 05/1994 | A.S. GOLDMEN & CO., INC. | 23180 | RED BANK, NJ |
| B 04/1990 - 02/1992 | FIRST MONTAUK SECURITIES CORP. | 13755 | RED BANK, NJ |
| B 10/1988 - 06/1990 | SHELTER ROCK SECURITIES CORP. | 11043 | |
| B 04/1988 - 09/1988 | WAKEFIELD FINANCIAL CORPORATION | 11064 | |
| B 04/1985 - 06/1986 | ROONEY, PACE INC. | 6218 | |
| B 12/1984 - 04/1985 | D. H. BLAIR & CO., INC. | 6833 | |

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 |
|-------------------|------------------------------|----------------|--------------------|---------------------------------------|
| 10/2003 - Present | GJL SECURITIES, INC. | CLERK | Y | NEW YORK, NY, United States |
| 10/2001 - Present | PRINCIPAL CREDIT CORPORATION | VICE PRESIDENT | N | HUNTINGTON STATION, NY, United States |

Disclosure Events



What you should know about reported disclosure events:

1. Disclosure events in BrokerCheck reports come from different sources:

- As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory 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.

| | Final | On Appeal |
|------------------|-------|-----------|
| Regulatory Event | 5 | 0 |
| Criminal | 1 | 0 |



Disclosure Event Details

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.

Regulatory - Final

This type of disclosure event involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

Disclosure 1 of 5

Reporting Source: Regulator
Regulatory Action Initiated By: FLORIDA DIVISION OF SECURITIES AND INVESTOR PROTECT*See FAQ #1*

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 02/16/1989

Docket/Case Number: 89-46.DOS/ 1013-S-1/89

Employing firm when activity occurred which led to the regulatory action: SHELTER ROCK SECURITIES CORPORATION

Product Type:

Other Product Type(s):

Allegations: ON 8-29-90, THE STATE OF FLORIDA ENTERED A FINAL ORDER OF DENIAL IN THE MATTER OF SUBJECT INDIVIDUAL AS AN ASSOCIATED PERSON OF WAKEFIELD FINANCIAL CORPORATION AND SHELTER ROCK SECURITIES CORPORATION.

Current Status: Final

Resolution: Decision

Resolution Date: 08/29/1990

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: Not Provided

Regulator Statement Not Provided



Reporting Source: Broker

Regulatory Action Initiated By: SECURITIES AND EXCHANGE COMMISSION STATE OF FLORIDA

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 02/16/1989

Docket/Case Number: 89-46.DOS/ 1013-S-1/89

Employing firm when activity occurred which led to the regulatory action: SHELTER ROCK SECURITIES CORPORATION

Product Type: Other

Other Product Type(s):

Allegations: THE STATE OF FLORIDA TURNED DOWN MY REGISTRATION BECAUSE OF A CASE BROUGHT AGAINST ME IN THE STATE OF NEW YORK

Current Status: Final

Resolution: Decision

Resolution Date: 08/29/1990

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: NOT PROVIDED

Broker Statement

AFTER INITIAL DENIAL IN (1988) I REQUESTED A FORMAL HEARING I CHANGED FIRMS TWICE THE PROCEEDING WAS CARRIED FROM FIRM TO FIRM. FINALLY AFTER TWO YEARS THE ORIGINAL DECISION WAS UPHELD. AGAIN NONE OF THE PROCEEDINGS HAD ANYTHING TO DO WITH THE SECURITIES BUSINESS.

Disclosure 2 of 5

Reporting Source: Regulator



Regulatory Action Initiated By: FLORIDA DIVISION OF SECURITIES AND INVESTOR PROTECT*See FAQ #1*

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 08/29/1990

Docket/Case Number: 1013-S-1/89

Employing firm when activity occurred which led to the regulatory action: WAKEFIELD FINANCIAL CORPORATION

Product Type:

Other Product Type(s):

Allegations: ON 8-29-90, THE STATE OF FLORIDA ENTERED A FINAL ORDER OF DENIAL IN THE MATTER OF SUBJECT INDIVIDUAL AS AN ASSOCIATED PERSON OF WAKEFIELD FINANCIAL CORPORATION AND SHELTER ROCK SECURITIES CORPORATION.

Current Status: Final

Resolution: Decision

Resolution Date: 08/29/1990

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: Not Provided

Regulator Statement Not Provided

Reporting Source: Broker

Regulatory Action Initiated By: SECURITIES AND EXCHANGE COMMISSION STATE OF FLORIDA

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 08/29/1990

Docket/Case Number: 1013-S-1/89



| | |
|--|--|
| Employing firm when activity occurred which led to the regulatory action: | WAKEFIELD FINANCIAL CORPORATION |
| Product Type: | Other |
| Other Product Type(s): | INSURANCE FRAUD. I PLEAD GUILTY TO A MISDEMEANOR 5TH DEGREE. THE OUTCOME RESULTED IN A 1 YEAR CONDITIONAL DISCHARGED AND FULL RESTITUTION TO THE VICTIM SERVICES AGENCY PLUS A FINE OF \$500.00 |
| Allegations: | THE STATE OF FLORIDA TURNED DOWN MY REGISTRATION BECAUSE OF A CASE BROUGHT AGAINST ME IN THE STATE OF NEW YORK |
| Current Status: | Final |
| Resolution: | Decision |
| Resolution Date: | 08/29/1990 |
| Sanctions Ordered: | Revocation/Expulsion/Denial |
| Other Sanctions Ordered: | |
| Sanction Details: | NOT PROVIDED |
| Broker Statement | AFTER INITIAL DENIAL IN (1988) I REQUESTED A FORMAL HEARING I CHANGED FIRMS TWICE THE PROCEEDING WAS CARRIED FROM FIRM TO FIRM. FINALLY AFTER TWO YEARS THE ORIGINAL DECISION WAS UPHELD. AGAIN NONE OF THE PROCEEDINGS HAD ANYTHING TO DO WITH THE SECURITIES BUSINESS. |

Disclosure 3 of 5

| | |
|--|---|
| Reporting Source: | Regulator |
| Regulatory Action Initiated By: | VIRGINIA STATE CORPORATION COMMISSION - SECURITIES DIVISION |
| Sanction(s) Sought: | |
| Other Sanction(s) Sought: | |
| Date Initiated: | 07/25/1990 |
| Docket/Case Number: | |



Employing firm when activity occurred which led to the regulatory action: FIRST MONTAUK CORP.

Product Type:

Other Product Type(s):

Allegations: Not Provided

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 07/25/1990

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: AT THE REQUEST OF THE VIRGINIA STATE CORPORATION COMMISSION THE FIRM OF FIRST MONTAUK CORP. AGREED TO IMPOSE SPECIAL SUPERVISORY PROCEDURES ON DANIEL ANTHONY MAZZOTTA AS A CONDITION FOR HIS BECOMING REGISTERED AS AN AGENT IN VIRGINIA. THIS SANCTION WAS REQUESTED BECAUSE OF MR. MAZZOTTA'S DISCIPLINARY HISTORY.

Regulator Statement CONTACT IRENE HAGUE, REGISTRATION SUPERVISOR, 804-786-7751.

Reporting Source: Broker

Regulatory Action Initiated By: STATE OF VIRGINIA

Sanction(s) Sought: Other

Other Sanction(s) Sought:

Date Initiated: 07/25/1990

Docket/Case Number:

Employing firm when activity occurred which led to the regulatory action: FIRST MONTAUK CORP.

Product Type: Other

**Other Product Type(s):**

Allegations: THE STATE OF VIRGINIA WANTED CERTAIN STIPULATIONS BEFORE GRANTING REGISTRATION

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 07/25/1990

Sanctions Ordered:**Other Sanctions Ordered:**

Sanction Details: THE STATE OF VIRGINIA APPROVED MY REGISTRATION WITH CERTAIN STIPULATIONS WHICH WERE AGREED WITH BY MY FIRM

Broker Statement DOCUMENTS ATTACHED

Disclosure 4 of 5

Reporting Source: Regulator

Regulatory Action Initiated By: FLORIDA

Sanction(s) Sought:**Other Sanction(s) Sought:**

Date Initiated: 08/01/1988

Docket/Case Number: 88.141.DOS

Employing firm when activity occurred which led to the regulatory action: WAKEFIELD FINANCIAL CORPORATION

Product Type:**Other Product Type(s):****Allegations:**

Current Status: Final

Resolution: Decision

Resolution Date: 08/01/1988

Sanctions Ordered: Revocation/Expulsion/Denial

**Other Sanctions Ordered:****Sanction Details:****Regulator Statement**

PER CRD/SRR MAIL NOTIFICATION 8/17/88: ON AUGUST 1, 1988, THE STATE OF FLORIDA REJECTED MAZZOTTA'S APPLICATION FOR REGISTRATION "DUE TO DISCIPLINARY". ** NOTE: A FORM U6 IS BEING REQUESTED FROM FLORIDA FOR DOCUMENTATION. *****
8/30/88-FORM U6 (8152-23688) DISCLOSES ON AUGUST 1, 1988, THE STATE OF FLORIDA DENIED THE APPLICATION FOR REGISTRATION OF DANIEL MAZZOTTA AS AN ASSOCIATED PERSON OF WAKEFIELD FINANCIAL CORPORATION. THE DENIAL IS PREDICATED UPON THE APPLICANT'S CRIMINAL RECORD. DOCKET/CASE NO. 88.141.DOS, DATED AUGUST 1, 1988.

Reporting Source: Broker**Regulatory Action Initiated By:** SECURITIES AND EXCHANGE COMMISSION STATE OF FLORIDA**Sanction(s) Sought:****Other Sanction(s) Sought:****Date Initiated:** 08/01/1988**Docket/Case Number:** 88.141.DOS**Employing firm when activity occurred which led to the regulatory action:** WAKEFIELD FINANCIAL CORPORATION**Product Type:** Other**Other Product Type(s):****Allegations:** THE STATE OF FLORIDA TURNED DOWN MY REGISTRATION BECAUSE OF A CASE BROUGHT AGAINST ME IN THE STATE OF NEW YORK.**Current Status:** Final**Resolution:** Decision**Resolution Date:** 08/01/1988**Sanctions Ordered:** Revocation/Expulsion/Denial**Other Sanctions Ordered:**



| | |
|--------------------------|--|
| Sanction Details: | NOT PROVIDED |
| Broker Statement | AFTER INITIAL DENIAL IN (1988) I REQUESTED A FORMAL HEARING. I CHANGED FIRMS TWICE. THE PROCEEDING WAS CARRIED FROM FIRM TO FIRM. FINALLY AFTER 2 YEARS THE ORIGINAL DECISION WAS UPHELD. AGAIN NONE OF THE PROCEEDINGS HAD ANYTHING TO DO WITH THE SECURITIES BUSINESS. |

Disclosure 5 of 5

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|--|--|
| Reporting Source: | Regulator |
| Regulatory Action Initiated By: | MARYLAND |
| Sanction(s) Sought: | |
| Other Sanction(s) Sought: | |
| Date Initiated: | 05/24/1989 |
| Docket/Case Number: | |
| Employing firm when activity occurred which led to the regulatory action: | SHELTER ROCK SECURITIES CORP. |
| Product Type: | No Product |
| Other Product Type(s): | |
| Allegations: | **** 6/15/89-FORM U6 (8070-15089) DISCLOSES: ORDER TO SHOW CAUSE AND ORDER OF SUMMARY POSTPONEMENT ISSUED ON APRIL 24, 1989 FOR FAILURE TO COMPLY WITH SECTION 11-412(A)(3). DANIEL MAZZOTTA DID NOT REQUEST A HEARING. ORDER OF DENIAL ISSUED MAY 24, 1989. |
| Current Status: | Final |
| Resolution: | Decision |
| Resolution Date: | 05/24/1989 |
| Sanctions Ordered: | Revocation/Expulsion/Denial |
| Other Sanctions Ordered: | |
| Sanction Details: | THE STATE OF MARYLAND REJECTED MAZZOTTA'S APPLICATION FOR REGISTRATION BASED UPON THE FOLLOWING REASON: "DISCIPLINARY HISTORY". |

**Regulator Statement**

DOCKET/CASE NO. NOT APPLICABLE, DATED MAY 24, 1989.

Reporting Source: Broker**Regulatory Action Initiated By:** REGULATOR-SECURITIES AND EXCHANGE COMMISSION
STATE OF MARYLAND**Sanction(s) Sought:****Other Sanction(s) Sought:****Date Initiated:** 05/24/1989**Docket/Case Number:****Employing firm when activity occurred which led to the regulatory action:** SHELTER ROCK SECURITIES CORP.**Product Type:** Other**Other Product Type(s):****Allegations:** THE STATE OF MARYLAND DENIED MY REGISTRATION
BECAUSE OF A CASE BROUGHT AGAINST ME IN THE STATE OF NEW YORK.**Current Status:** Final**Resolution:** Decision**Resolution Date:** 05/24/1989**Sanctions Ordered:** Revocation/Expulsion/Denial**Other Sanctions Ordered:****Sanction Details:** REGISTRATION DENIED**Broker Statement**
I WAS GIVEN THE OPPORTUNITY TO WITHDRAW FROM THE
STATE AND NOT HAVE IT APPEAR ON MY U-4. SHELTER ROCK SECURITIES
NEVER PROCESSED MY REQUEST FOR WITHDRAWAL ON TIME AND
HENCE I
RECEIVED A DENIAL.



Criminal - Final Disposition

This type of disclosure event involves a conviction or guilty plea for any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property that is currently on appeal.

Disclosure 1 of 1

| | |
|-----------------------------|--|
| Reporting Source: | Broker |
| Court Details: | THE STATE OF NEW YORK, CRIMINAL COURT, CITY OF NEW YORK, QUEENS COUNTY, AP2. DOCKET 6Q004221 |
| Charge Date: | 02/25/1986 |
| Charge Details: | OFFERING A FALSE INSTRUMENT FOR FILING IN 2ND DEGREE; GRAND LARCENY IN 2ND DEGREE; INSURANCE FRAUD FIRST DEGREE; FALSELY REPORTING AN INCIDENT. |
| Felony? | Yes |
| Current Status: | Final |
| Status Date: | 04/08/1986 |
| Disposition Details: | MISDEMEANOR 5TH DEGREE, 1 YEAR CONDITIONAL DISCHARGE, FINE OF \$500.00 PLUS FULL RESTITUTION OF \$4,579.18. ALL CONDITIONS HAVE BEEN COMPLIED WITH. |
| Broker Statement | ON FEB. 25, 1986, I PLEAD GUILTY TO A MISDEMEANOR 5TH DEGREE, IN CRIMINAL COURT OF THE CITY OF NEW YORK, QUEENS COUNTY, PART AP2. THE OUTCOME RESULTED IN A 1 YEAR CONDITIONAL DISCHARGE AND FULL RESTITUTION TO THE VICTIM SERVICES AGENCY PLUS A FINE OF \$500.00. I HAVE SUBSEQUENTLY MADE FULL RESTITUTION OF \$4,579.18 PLUS PAID THE FINE. PURSUANT TO COURT ORDER PERTAINING TO SAID PLEA, I HAVE RECEIVED A CERTIFICATE OF RELIEF FROM DISABILITIES, A COPY OF WHICH IS NEXT HERE TO AND PART HERE OF. PRIOR TO AND SUBSEQUENT TO THIS INCIDENT, I HAVE HAD AN IMPECCABLE RECORD IN BOTH LEGAL AND BUSINESS MATTERS. |

End of Report



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