

BrokerCheck Report

LARRY E MOTT

CRD# 2066225

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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:
 - 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.](http://www.finra.org)



LARRY E. MOTT

CRD# 2066225

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

IA PARK AVENUE SECURITIES LLC
 3040 POST OAK BLVD
 SUITE 1150
 HOUSTON, TX 77056
 CRD# 46173
 Registered with this firm since: 10/13/2014

B PARK AVENUE SECURITIES LLC
 3040 POST OAK BLVD
 SUITE 1150
 HOUSTON, TX 77056
 CRD# 46173
 Registered with this firm since: 09/18/2014

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:

- 1 Self-Regulatory Organization
- 33 U.S. states and territories

This broker has passed:

- 3 Principal/Supervisory Exams
- 4 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

- B SAGEPOINT FINANCIAL, INC.**
 CRD# 133763
 HOUSTON, TX
 04/2013 - 08/2014
- IA INVESTMENT ADVISORS**
 CRD# 15708
 BIRMINGHAM, AL
 11/2010 - 04/2013
- B PROEQUITIES, INC.**
 CRD# 15708
 MISSOURI CITY, TX
 11/2010 - 04/2013

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? **No**



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 1 SRO and is licensed in 33 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **PARK AVENUE SECURITIES LLC**

Main Office Address: **10 HUDSON YARDS
NEW YORK, NY 10001**

Firm CRD#: **46173**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	09/18/2014
B	FINRA	General Securities Representative	Approved	09/18/2014
B	FINRA	Invest. Co and Variable Contracts	Approved	09/18/2014
B	FINRA	Investment Co./Variable Contracts Prin	Approved	09/18/2014
B	FINRA	Municipal Securities Principal	Approved	09/18/2014
B	FINRA	Municipal Securities Representative	Approved	09/18/2014

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	03/01/2023
IA	Arizona	Investment Adviser Representative	Approved	03/21/2023
B	California	Agent	Approved	12/02/2014
IA	California	Investment Adviser Representative	Approved	02/13/2017
B	Colorado	Agent	Approved	06/30/2023
IA	Colorado	Investment Adviser Representative	Approved	07/05/2023
B	Florida	Agent	Approved	09/18/2014



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	Florida	Investment Adviser Representative	Approved	02/27/2018
B	Georgia	Agent	Approved	04/01/2021
IA	Georgia	Investment Adviser Representative	Approved	04/06/2021
B	Illinois	Agent	Approved	02/02/2017
IA	Illinois	Investment Adviser Representative	Approved	02/03/2017
B	Indiana	Agent	Approved	05/08/2024
IA	Indiana	Investment Adviser Representative	Approved	05/08/2024
B	Iowa	Agent	Approved	01/11/2023
IA	Iowa	Investment Adviser Representative	Approved	01/12/2023
B	Kansas	Agent	Approved	09/14/2020
IA	Kansas	Investment Adviser Representative	Approved	09/17/2020
B	Kentucky	Agent	Approved	12/15/2022
IA	Kentucky	Investment Adviser Representative	Approved	12/19/2022
B	Louisiana	Agent	Approved	11/11/2020
IA	Louisiana	Investment Adviser Representative	Approved	11/16/2020
B	Maryland	Agent	Approved	02/12/2026
IA	Maryland	Investment Adviser Representative	Approved	02/12/2026
B	Massachusetts	Agent	Approved	04/23/2021
IA	Massachusetts	Investment Adviser Representative	Approved	04/29/2021
B	Michigan	Agent	Approved	01/26/2022
IA	Michigan	Investment Adviser Representative	Approved	01/28/2022



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Minnesota	Agent	Approved	04/27/2023
IA	Minnesota	Investment Adviser Representative	Approved	04/28/2023
B	Missouri	Agent	Approved	02/24/2021
IA	Missouri	Investment Adviser Representative	Approved	02/24/2021
B	Montana	Agent	Approved	06/17/2020
IA	Montana	Investment Adviser Representative	Approved	06/17/2020
B	Nevada	Agent	Approved	05/26/2023
IA	Nevada	Investment Adviser Representative	Approved	05/31/2023
B	New Jersey	Agent	Approved	03/25/2022
IA	New Jersey	Investment Adviser Representative	Approved	03/25/2022
B	New York	Agent	Approved	04/19/2021
IA	New York	Investment Adviser Representative	Approved	05/01/2021
B	North Carolina	Agent	Approved	08/21/2020
IA	North Carolina	Investment Adviser Representative	Approved	08/21/2020
B	Ohio	Agent	Approved	05/26/2023
IA	Ohio	Investment Adviser Representative	Approved	05/26/2023
B	Oklahoma	Agent	Approved	06/10/2021
IA	Oklahoma	Investment Adviser Representative	Approved	06/10/2021
B	Oregon	Agent	Approved	05/23/2022
IA	Oregon	Investment Adviser Representative	Approved	05/24/2022
B	Pennsylvania	Agent	Approved	05/29/2021



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	Pennsylvania	Investment Adviser Representative	Approved	06/01/2021
B	South Carolina	Agent	Approved	10/25/2024
IA	South Carolina	Investment Adviser Representative	Approved	10/29/2024
B	Tennessee	Agent	Approved	09/17/2021
B	Texas	Agent	Approved	09/18/2014
IA	Texas	Investment Adviser Representative	Approved	10/13/2014
B	Utah	Agent	Approved	06/25/2020
IA	Utah	Investment Adviser Representative	Approved	06/25/2020
B	Vermont	Agent	Approved	10/23/2023
IA	Vermont	Investment Adviser Representative	Approved	10/23/2023
B	Virginia	Agent	Approved	07/12/2024
IA	Virginia	Investment Adviser Representative	Approved	07/16/2024
B	Washington	Agent	Approved	09/29/2022
IA	Washington	Investment Adviser Representative	Approved	10/21/2022
B	Wisconsin	Agent	Approved	11/27/2020
IA	Wisconsin	Investment Adviser Representative	Approved	11/30/2020

Branch Office Locations

PARK AVENUE SECURITIES LLC
 3040 POST OAK BLVD
 SUITE 1150
 HOUSTON, TX 77056

PARK AVENUE SECURITIES LLC

Broker Qualifications



Employment 1 of 1, continued

Sugar Land, TX



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

Principal/Supervisory Exams

Exam	Category	Date
B Municipal Securities Principal Examination	Series 53	07/21/2008
B General Securities Principal Examination	Series 24	05/31/2001
B Investment Company Products/Variable Contracts Principal Examination	Series 26	06/22/1998

General Industry/Product Exams

Exam	Category	Date
B Municipal Securities Representative Examination	Series 52TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	09/21/1999
B Investment Company Products/Variable Contracts Representative Examination	Series 6	09/24/1990

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	06/15/2010
B Uniform Securities Agent State Law Examination	Series 63	11/30/1999

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 04/2013 - 08/2014	SAGEPOINT FINANCIAL, INC.	133763	HOUSTON, TX
IA 11/2010 - 04/2013	INVESTMENT ADVISORS	15708	MISSOURI CITY, TX
B 11/2010 - 04/2013	PROEQUITIES, INC.	15708	MISSOURI CITY, TX
IA 11/2007 - 11/2010	METLIFE SECURITIES INC.	14251	HOUSTON, TX
B 09/1990 - 11/2010	METLIFE SECURITIES INC.	14251	HOUSTON, TX
IA 10/1990 - 08/2007	METLIFE SECURITIES INC.	14251	HOUSTON, TX
B 09/1990 - 07/2007	METROPOLITAN LIFE INSURANCE COMPANY	4095	PENSACOLA, FL

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
06/2024 - Present	GUARDIAN LIFE INSURANCE COMPANY	AGENT	Y	Sugar Land, TX, United States
06/2024 - Present	PARK AVENUE SECURITIES	REGISTERED REPRESENTATIVE	Y	Sugar Land, TX, United States
07/2018 - Present	GUARDIAN LIFE INSURANCE COMPANY	AGENT	Y	HOUSTON, TX, United States
07/2018 - Present	PARK AVENUE SECURITIES	REGISTERED REPRESENTATIVE	Y	HOUSTON, TX, United States
01/2016 - 07/2018	GUARDIAN LIFE INSURANCE	AGENT	Y	SUGAR LAND, TX, United States
01/2016 - 07/2018	PARK AVENUE SECURITIES	REGISTERED REP	Y	SUGAR LAND, TX, United States



Registration and Employment History

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.

1. Larry Mott (Ins other than Guardian)-Provide Fixed Life, Annuity, Health products and P&C to clients when a Guardian product is not suitable.

Start: 08/15/2016,

Address: 5515 Kipling Glen Court, Sugar Land Texas 77479,

4 bus hrs per month,

Investment related,

2. J & L Mott Signs-DBA set up to collect rent from my mother's Estate. The property once clears probate will be Apartment Rental, Commercial Building Rental and some yearly payouts from my family's old business "Mott Signs"

Start: 07/06/2017,

Address: 218 Grandview Ave, Valparaiso FL 32580,

Hrs per month - tot/bus: 8/6,

Investment related,

3. CPE Instructor-Provide CPE Educational Seminars for Professionals (CPAs,etc.) for their Continuation Education Credits.

Start: 11/01/2017

Address: 15958 City Walk Suite 290; Sugar Land, TX 77479,

1 bus hr per month,

Not investment related,

4) River Pointe Church-Board of Directors,

Nature of Business: Church BOD,

Start date: 05/01/2026,

Address: 21000 Southwest Fwy Richmond TX 77469,

Duties: Meeting once a month to discuss the vision of the church as well as provide feed back in handling management / personnel issue,

3 total hours per month; 3 during securities trading hours,

Not investment related,

End of Report



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