BrokerCheck Report

DAVID J MOZEIKA

CRD# 4441724

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.

DAVID J. MOZEIKA

CRD# 4441724

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
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

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

B **PARK AVENUE SECURITIES LLC**
CRD# 46173
RED BANK, NJ
10/2004 - 05/2023

B **NYLIFE SECURITIES INC.**
CRD# 5167
NEW YORK, NY
10/2001 - 10/2004

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**

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

https://www.adviserinfo.sec.gov

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 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, 3 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	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	10/12/2011
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	10/20/2001

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	05/03/2013

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 10/2004 - 05/2023	PARK AVENUE SECURITIES LLC	46173	RED BANK, NJ
B 10/2001 - 10/2004	NYLIFE SECURITIES INC.	5167	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
05/2023 - Present	Invst, LLC DBA Tomoro	Investment Advisor Representative	Y	Indianapolis, IN, United States
04/2022 - 05/2023	GUARDIAN LIFE INSURANCE COMPANY	AGENT	Y	RED BANK, NJ, United States
04/2022 - 05/2023	PARK AVENUE SECURITIES	REGISTERED REPRESENTATIVE	Y	RED BANK, NJ, United States
11/2011 - 04/2022	GUARDIAN LIFE INSURANCE CO OF AMERICA	AGENT	Y	WALL, NJ, United States
11/2011 - 04/2022	PARK AVENUE SECURITIES LLC	REGISTERED REP	Y	WALL, NJ, 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.

1. Tomoro Private Client-Tomoro Private Client and its organizational process is designed to provide a structured method or prioritizing, focusing and execution in areas of life that matter most,
Start: 05/15/2014,
Address: 1670 Highway 34, Suite 1C Wall, New Jersey 07727,
10 bus hrs per month,
Not investment related,

Registration and Employment History

Other Business Activities, continued

2. Trustee - 2013 Irrevocable Trust-I am the managing trustee of an irrevocable trust that was set up,
Start: 01/01/2013,
Address: 1413 Cortland Dr. Wall, NJ 08736,
1 bus hr per month,
Investment related,

3. FLO Free LLC-developing a planning platform that will help Guardian advisors assist clients with increased savings,.
Start: 11/29/2016,
Address: 1959 Rt. 34, Suite 101 Wall, NJ 07719,
Hrs per month - tot/bus: 20/10,
Not investment related,

4) Inlet Holdings LLC-entity to own Investment Real Estate,
Start: 09/27/2021,
Address: 40 Inlet Terrace Belmar, NJ 07719,
5 total hours per month 1 during securities trading hours,
Investment related,
Less than 10% annual compensation,

5) Currence-software company that provides its customers technology that helps people with data and a user experience to their cash flow and savings habits,
Start: 09/01/2022,
Address: 11 Wharf Ave Red Bank, NJ 07701,
100 total hours per month; 60 during securities trading hours,
Investment related,
Less than 10% annual compensation,

6) Insurance Business
Start: 12/20/2022,
Address: 11 Wharf Ave Red Bank, NJ 07701,
1 total hours per month; 1 during securities trading hours,
Investment related,
Less than 10% annual compensation,

End of Report

This page is intentionally left blank.