



## IAPD Report

# GARY STEPHEN MAYO

CRD# 1022781

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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.



## **IAPD Information About Representatives**

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### **What is included in a IAPD report?**

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

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

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### **How current is this information?**

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### **Need help interpreting this report?**

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

### **What if I want to check the background of an Individual Broker or Brokerage Firm?**

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

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

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### GARY STEPHEN MAYO (CRD# 1022781)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **12/19/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	APW CAPITAL, INC.	CRD# 43814	12/20/2001
<b>IA</b>	LIBERTY ASSET MANAGEMENT	CRD# 142094	10/17/2008

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
<b>IA</b>	GM FINANCIAL GROUP	123220	ALLENTOWN, PA	01/02/2001 - 01/18/2005
<b>IA</b>	COMPREHENSIVE ASSET MANAGEMENT AND SERVICING, INC.	43814	ALLENTOWN, PA	12/20/2001 - 08/04/2004
<b>B</b>	JEFFERSON PILOT SECURITIES CORPORATION	3870	FORT WAYNE, IN	05/13/1992 - 12/21/2001

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

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

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Criminal	1
Customer Dispute	1



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.

This individual is currently registered with **10** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **APW CAPITAL, INC.**  
Main Address: 100 ENTERPRISE DRIVE, SUITE 504  
ROCKAWAY, NJ 07866  
Firm ID#: 43814

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	12/20/2001
<b>B</b>	Florida	Agent	Approved	12/20/2001
<b>B</b>	Illinois	Agent	Approved	03/25/2002
<b>B</b>	Maine	Agent	Approved	12/11/2014
<b>B</b>	Maryland	Agent	Approved	11/16/2018
<b>B</b>	New Jersey	Agent	Approved	12/20/2001
<b>B</b>	New York	Agent	Approved	12/20/2001
<b>B</b>	North Carolina	Agent	Approved	09/12/2008
<b>B</b>	Pennsylvania	Agent	Approved	12/20/2001
<b>B</b>	Tennessee	Agent	Approved	02/07/2023
<b>B</b>	Wyoming	Agent	Approved	01/15/2015

### Branch Office Locations

**COMPREHENSIVE ASSET MANAGEMENT AND SERVICING,  
INC.**  
3570 HAMILTON BOULEVARD, SUITE 301



## Qualifications

ALLENTOWN, PA 18103

### Employment 2 of 2

Firm Name: **LIBERTY ASSET MANAGEMENT**  
Main Address: 3570 HAMILTON BLVD.  
SUITE 301  
ALLENTOWN, PA 18103  
Firm ID#: 142094

	Regulator	Registration	Status	Date
IA	Pennsylvania	Investment Adviser Representative	Approved	10/17/2008

### Branch Office Locations

**LIBERTY ASSET MANAGEMENT**  
3570 HAMILTON BLVD.  
SUITE 301  
ALLENTOWN, PA 18103



## Qualifications

### PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.





**This individual has passed 0 principal/supervisory exams, 4 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams


Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	10/18/1986
 Direct Participation Programs Representative Examination (S22)	Series 22	09/22/1983
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/07/1982

#### State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/07/1982

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

#### Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	01/02/2001 - 01/18/2005	GM FINANCIAL GROUP	CRD# 123220	ALLENTOWN, PA
IA	12/20/2001 - 08/04/2004	COMPREHENSIVE ASSET MANAGEMENT AND SERVICING, INC.	CRD# 43814	ALLENTOWN, PA
B	05/13/1992 - 12/21/2001	JEFFERSON PILOT SECURITIES CORPORATION	CRD# 3870	FORT WAYNE, IN
B	02/11/1982 - 04/11/1992	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	02/11/1982 - 04/11/1992	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	02/11/1982 - 12/24/1986	IDS FINANCIAL SERVICES INC.	CRD# 6320	

### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2001 - Present	COMPRHENSIVE ASSET MGMT	INDP. CONTRATOR	Y	PARSIPPANY, NJ, United States
02/1999 - Present	CO-LEASH	VICE PRESIDENT	N	TAMPA, FL, United States

### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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. LIBERTY WEALTH MGMT., ALLENTOWN, PA., FIXED INSURANCE/investment related; Services and duties: sales; Title: CFP/shareholder; Time spent: 50%.
2. Liberty Asset Management; Allentown, PA; investment related; Services and duties: adviser, trading; Title: Wealth Adviser; Time spend: 80%.
4. May Holding LLC, New Tripoli, PA; non-investment related; service and duties: rental properties; title: property owner; time spent: 5%.



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.





## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Criminal	1
Customer Dispute	1

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	PA SECURITIES COMMISSION CONTACT: DEBRA S. CALLAHAN (717) 783-5178
<b>Sanction(s) Sought:</b>	Other
<b>Other Sanction(s) Sought:</b>	GARY STEPHEN MAYO IS ORDERED TO PAY \$3,000 IN INVESTIGATIVE AND LEGAL COSTS.
<b>Date Initiated:</b>	09/03/2003
<b>Docket/Case Number:</b>	9901-05
<b>Employing firm when activity occurred which led to the regulatory action:</b>	
<b>Product Type:</b>	Other
<b>Other Product Type(s):</b>	AGREEMENTS
<b>Allegations:</b>	RESPONDENT GARY STEPHEN MAYO VIOLATED THE REGISTRATION PROVISIONS OF THE PENNSYLVANIA SECURITIES ACT OF 1972.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Settled



**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** Yes

**Resolution Date:** 09/03/2003

**Sanctions Ordered:** Monetary/Fine \$3,000.00  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:** RESPONDENT IS SUSPENDED FOR 20 DAYS FROM THE SECURITIES BUSINESS IN PENNSYLVANIA. HE PAID THE \$3,000 INVESTIGATIVE COSTS AND ASSESSMENT ON 09/03/2003.

**Regulator Statement** RESPONDENT MAYO SOLD UNREGISTERED SECURITIES TO AT LEAST TWO (2) PENNSYLVANIA RESIDENTS FOR \$125,000.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** PENNSYLVANIA SECURITIES COMMISSION

**Sanction(s) Sought:** Suspension

**Other Sanction(s) Sought:** ORDERED TO PAY \$1,500 IN INVESTIGATIVE & LEGAL COST; ALSO ORDERED TO PAY \$1,500 FOR AN ADMIN ASSESSMENT

**Date Initiated:** 09/03/2003

**Docket/Case Number:** 9901-05

**Employing firm when activity occurred which led to the regulatory action:** JEFFERSON PILOT SECURITIES CORP

**Product Type:** Other

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

**Allegations:** RESPONDENT OFFERED AND SOLD UNREGISTERED SECURITIES IN PA IN VIOLATION OF SECTION 201 OF THE 1972 ACT, 70 P.S.

**Current Status:** Final

**Resolution:** Decision & Order of Offer of Settlement

**Resolution Date:** 09/03/2003

**Sanctions Ordered:** Monetary/Fine \$3,000.00  
Suspension

**Other Sanctions Ordered:** RESPONDENT ORDERED TO RETURN TO PURCHASERS OF THE SECURITIES IN PA, IN CASH, THE AMOUNT OF COMPENSATION RECEIVED FOR EFFECTING THOSE SECURITIES TRANSACTIONS

**Sanction Details:** SUSPENDED FOR A PERIOD OF TWENTY (20) DAYS FROM 09/03/2003 FROM REPRESENTING AN ISSUER OFFERING OR SELLING SECURITIES IN PA; OR ACTING AS A BROKER-DEALER AGENT OR INVESTMENT ADVISOR REPRESENTATIVE.

**Broker Statement** I OFFERED AND SOLD AGREEMENTS WHICH I WAS LED TO BELIEVE WAS PROPER WITHIN THE PROVISIONS OF THE PENNSYLVANIA SECURITIES



ACT OF 1972. THIS MATTER WAS NOT INITIATED BY A CUSTOMER COMPLAINT AND WAS SETTLED WITHOUT ANY ADMISSION (OR DENIAL) OF MISCONDUCT.



## Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

### Disclosure 1 of 1

**Reporting Source:** Firm

**Court Details:** BERKS COUNTY PENNSYLVANIA DOCKET #1656/04

**Charge Date:** 09/10/2003

**Charge Details:** MR. MAYO IS CHARGED WITH POSSESSING A CONTROLLED SUBSTANCE AND RELATED CHARGES. AT ALL PROCEEDINGS TO DATE, MR. MAYO HAS STOOD MUTE TO THE CHARGES AND A PLEA OF NOT GUILTY HAS BEEN ENTERED ON HIS BEHALF.

**Felony?** Yes

**Current Status:** Pending

**Status Date:**

**Disposition Details:** SEE ABOVE NOTES.

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**Reporting Source:** Individual

**Court Details:** COURT OF COMMON PLEAS OF BERKS COUNTY PENNSYLVANIA

**Charge Date:** 03/17/2004

**Charge Details:** AT ALL PROCEEDINGS TO DATE, MR. MAYO HAS STOOD MUTE TO THE CHARGES AND A PLEA OF NOT GUILTY HAS BEEN ENTERED ON HIS BEHALF.  
DOCKET #1656/04  
COUNT #1 - CRIMINAL USE OF COMMUNICATION FACILITY (FELONY);  
COUNT #2 - POSSESSION OF A CONTROLLED SUBSTANCE, MARIJUANA (MISDEMEANOR) 8/27/03;  
COUNT #3 - POSSESSION WITH INTENT TO DELIVER A CONTROLLED SUBSTANCE (FELONY);  
COUNT #4 - POSSESSION OF CONTROLLED SUBSTANCE, MARIJUANA (MISDEMEANOR) 9/24/03;  
COUNT #5 - POSSESSION WITH INTENT TO DELIVER CONTROLLED SUBSTANCE (FELONY);  
COUNT #6 - CONSPIRACY TO COMMIT CRIMINAL USE OF COMMUNICATION FACILITY (FELONY)  
COUNT #7 - CONSPIRACY TO COMMIT POSSESSION OF CONTROLLED SUBSTANCE (MISDEMEANOR)  
COUNT #8 - CONSPIRACY TO COMMIT POSSESSION WITH INTENT TO DELIVER A CONTROLLED SUBSTANCE (FELONY)

**Felony?** Yes

**Current Status:** Final

**Status Date:** 06/20/2008

**Disposition Details:** DOCKET #1656/04 DISPOSITION DATE: 6/20/2008; NEGOTIATED PLEA  
COUNT #1 DISMISSED- CRIMINAL USE OF COMMUNICATION FACILITY (FELONY);  
COUNT #2 PLEA GUILTY- POSSESSION OF A CONTROLLED SUBSTANCE, MARIJUANA (MISDEMEANOR) 8/27/03;  
COUNT #3 DISMISSED- POSSESSION WITH INTENT TO DELIVER A



CONTROLLED SUBSTANCE (FELONY);  
COUNT #4 DISMISSED- POSSESSION OF CONTROLLED SUBSTANCE,  
MARIJUANA (MISDEMEANOR) 9/24/03;  
COUNT #5 DISMISSED- POSSESSION WITH INTENT TO DELIVER  
CONTROLLED SUBSTANCE (FELONY);  
COUNT #6 DISMISSED- CONSPIRACY TO COMMIT CRIMINAL USE OF  
COMMUNICATION FACILITY (FELONY)  
COUNT #7 PLEA GUILTY- CONSPIRACY TO COMMIT POSSESSION OF  
CONTROLLED SUBSTANCE (MISDEMEANOR)  
COUNT #8 DISMISSED- CONSPIRACY TO COMMIT POSSESSION WITH  
INTENT TO DELIVER A CONTROLLED SUBSTANCE (FELONY)

PENALTY START DATE: JUNE 20, 2008, ONE (1) YEAR PROBATION  
FINE: \$100



## Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	Comprehensive Asset Management and Servicing, Inc.
<b>Allegations:</b>	Violations of FINRA Rules 2111, 2110, Violation of Texas Blue Sky Law, Negligence, Breach of Fiduciary Duty - May 20, 2012 & December 20, 2012
<b>Product Type:</b>	Real Estate Security
<b>Alleged Damages:</b>	\$145,800.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	No specific amount stated but reference made in pleading to full rescission of amount invested.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	17-00303
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	02/06/2017

## Customer Complaint Information

<b>Date Complaint Received:</b>	02/10/2017
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	10/30/2017
<b>Settlement Amount:</b>	\$14,500.00
<b>Individual Contribution Amount:</b>	\$0.00



## End of Report

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