



IAPD Report

DEVIN ASHLEY BORN

CRD# 2275635

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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

DEVIN ASHLEY BORN (CRD# 2275635)

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 **10/29/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LIFEMARK SECURITIES CORP.	CRD# 16204	06/16/2016
IA	LIFEMARK SECURITIES CORP.	CRD# 16204	06/16/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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
IA	COMPREHENSIVE CAPITAL MANAGEMENT, INC.	119890	READING, PA	04/17/2008 - 09/15/2016
B	COMPREHENSIVE ASSET MANAGEMENT AND SERVICING, INC.	43814	PARSIPPANY, NJ	09/17/2007 - 06/16/2016
IA	LIBERTY ASSET MANAGEMENT	142094	FOGELSVILLE, PA	09/14/2007 - 04/29/2008

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	2
Judgment/Lien	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 11 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LIFEMARK SECURITIES CORP.**

Main Address: 400 WEST METRO PARK
ROCHESTER, NY 14623

Firm ID#: 16204

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	06/16/2016
B	Delaware	Agent	Approved	02/13/2025
B	Florida	Agent	Approved	03/09/2018
B	Massachusetts	Agent	Approved	06/09/2023
IA	Massachusetts	Investment Adviser Representative	Approved	06/09/2023
B	Minnesota	Agent	Approved	08/01/2022
B	New Hampshire	Agent	Approved	01/12/2023
B	New Jersey	Agent	Approved	04/19/2018
B	New York	Agent	Approved	06/27/2019
B	North Carolina	Agent	Approved	01/07/2022
B	Pennsylvania	Agent	Approved	06/16/2016
IA	Pennsylvania	Investment Adviser Representative	Approved	06/16/2016
B	Texas	Agent	Approved	06/07/2021



Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Restricted Approval	06/08/2021
B Virginia	Agent	Approved	02/14/2019

Branch Office Locations

LIFEMARK SECURITIES CORP.
Sinking Springs, PA




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



Principal/Supervisory Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	04/15/1999

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	09/06/2000
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/18/1993

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	05/08/2000
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/11/1993

PROFESSIONAL DESIGNATIONS

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

No information reported.



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	04/17/2008 - 09/15/2016	COMPREHENSIVE CAPITAL MANAGEMENT, INC.	CRD# 119890	READING, PA
B	09/17/2007 - 06/16/2016	COMPREHENSIVE ASSET MANAGEMENT AND SERVICING, INC.	CRD# 43814	PARSIPPANY, NJ
IA	09/14/2007 - 04/29/2008	LIBERTY ASSET MANAGEMENT	CRD# 142094	FOGELSVILLE, PA
IA	07/17/2002 - 09/17/2007	ASSET & FINANCIAL PLANNING, LTD	CRD# 110709	READING, PA
B	03/14/2000 - 09/17/2007	PRIME CAPITAL SERVICES, INC.	CRD# 18334	READING, PA
B	11/10/1997 - 03/06/2000	WMA SECURITIES, INC.	CRD# 32625	DULUTH, GA
B	02/22/1993 - 10/30/1997	JOHN HANCOCK DISTRIBUTORS, INC.	CRD# 468	BOSTON, MA
B	02/22/1993 - 05/01/1997	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	CRD# 5181	BOSTON, MA

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
06/2016 - Present	LIFEMARK SECURITIES CORP.	Registered Representative	Y	Rochester, NY, United States
01/1996 - Present	Independent Insurance Agent	Insurance Sales	N	Sinking Spring, PA, United States
06/2017 - 01/2020	Tax Preparation Services	review info and input data	N	Sinking Spring, PA, United States
01/1999 - 04/2019	B&D FINANCIAL SERVICES	PRESIDENT	Y	SINKING SPRING, PA, United States
09/2007 - 06/2016	COMPREHENSIVE ASSET MANAGEMENT & SERVICING, INC.	REGISTERED REP	Y	PARSIPPANY, NJ, United States



Registration & Employment History



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. independent insurance agent, investment related, 128 Matthew Dr., Sinking Spring, PA 19608, MY DUTIES INCLUDE, MARKETING, SALES AND SERVICING CLIENTS, DURING SECURITIES HOURS, I SPEND APPROX. 2 HOURS PER DAY INVOLVED WITH THE DUTIES. Sales and service of FIXED ANNUITIES, WHOLE LIFE, TERM INSURANCE, UNIVERSAL LIFE INSURANCE, LONG-TERM CARE INSURANCE AND HEALTH INSURANCE
2. Assisting clients in their duties of executor. Attending meeting with attorneys, Contacting all investment related companies in notification of death of client. Gathering of all pertinent forms for process of the disbursement of monies. Assist the attorney on record with data gathering for creation of estate accounts. NOT INVESTMENT RELATED. 128 Matthew Drive Sinking Spring, PA 19608



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	2
Judgment/Lien	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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	Massachusetts
Sanction(s) Sought:	Undertaking
Date Initiated:	06/09/2023
Docket/Case Number:	R-2023-0049
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Lifemark Securities Corp.
Product Type:	No Product
Allegations:	Due to recent disclosure incident regarding an outstanding judgment/lien and Born's insolvency, the Division placed conditions on Born's registration as a BD Agent and as an IAR of Lifemark Securities in Massachusetts.
Current Status:	Final
Resolution:	Consent
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:	06/09/2023



Sanctions Ordered: Undertaking
 Other: For a period of 24 months, Lifemark must supervise Burke on a heightened basis which must, at a minimum, include the following: (1) Submit Born to quarterly credit checks; (2) must conduct quarterly reviews of Born's credit report; (3) Born must provide Supervisor, or Supervisor's successor, with a signed statement attesting that Born does not have any new judgments, liens or financial disclosure incidents that have not been reported on his Form U4 and that he is current on all payment plans to satisfy unresolved debts; (4) conduct quarterly review of the Financial Notification to verify that Born has made all required payments pursuant to any outstanding loans, judgments, liens, or other payment plans in a timely manner; (5) on an annual basis, Born must provide Supervisor, or Supervisor's successor, a statement of financial condition that includes personal assets, liabilities, monthly income, and monthly expenses; and conduct a review of Born's Statement of Financial Condition with Born. Each review must be memorialized in writing and maintained in Born's personnel file.

Reporting Source: Individual
Regulatory Action Initiated By: Massachusetts
Sanction(s) Sought: Undertaking
Date Initiated: 06/09/2023
Docket/Case Number: R-2023-0049
Employing firm when activity occurred which led to the regulatory action: Lifemark Securities Corp.

Product Type: No Product
Allegations: Due to recent disclosure incident regarding an outstanding judgment/lien and Born's insolvency, the Division placed conditions on Born's registration as a BD Agent and as an IAR of Lifemark Securities in Massachusetts.

Current Status: Final

Resolution: Consent

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: 06/09/2023

Sanctions Ordered: Undertaking
 Other: For a period of 24 months, Lifemark must supervise Born on a heightened basis which must, at a minimum, include the following: (1) Submit Born to quarterly credit checks; (2) must conduct quarterly reviews of Born's credit report; (3) Born must provide Supervisor, or Supervisor's successor, with a signed statement attesting that Born does not have any new judgments, liens or financial disclosure incidents that have not been reported on his Form U4 and that he is current on all payment plans to satisfy unresolved debts; (4) conduct quarterly review of the Financial Notification to verify that Born has made all required payments pursuant to any outstanding loans, judgments, liens, or other payment plans in a timely



manner; (5) on an annual basis, Born must provide Supervisor, or Supervisor's successor, a statement of financial condition that includes personal assets, liabilities, monthly income, and monthly expenses; and conduct a review of Born's Statement of Financial Condition with Born. Each review must be memorialized in writing and maintained in Born's personnel file.

Broker Statement

I am currently up to date on all payments and the balance has been reduced to \$73,000 as of June 2023.

Disclosure 2 of 2**Reporting Source:**

Regulator

Regulatory Action Initiated By:

FINRA

Sanction(s) Sought:

Other: N/A

Date Initiated:

08/11/2015

Docket/Case Number:[2012030675903](#)**Employing firm when activity occurred which led to the regulatory action:**

COMPREHENSIVE ASSET MANAGEMENT AND SERVICING, INC.

Product Type:

No Product

Allegations:

WITHOUT ADMITTING OR DENYING THE FINDINGS, BORN CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE CAUSED HIS MEMBER FIRM'S BOOKS AND RECORDS TO BE INACCURATE. THE FINDINGS STATED THAT BORN BACKDATED, OR CAUSED TO BE BACKDATED, DOCUMENTS RELATING TO THE FIRM'S ANNUAL BRANCH INSPECTIONS TO REFLECT THAT THE INSPECTIONS HAD BEEN COMPLETED IN 2011 WHEN, IN FACT, THEY HAD BEEN COMPLETED IN 2012.

Current Status:

Final

Resolution:

Acceptance, Waiver & Consent(AWC)

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

No

Resolution Date:

08/11/2015

Sanctions Ordered:Civil and Administrative Penalty(ies)/Fine(s)
Suspension**If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?**

No



(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	60 DAYS
Start Date:	09/08/2015



End Date: 11/06/2015

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Reporting Source: Individual

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 08/11/2015

Docket/Case Number: [2012030675903](#)

Employing firm when activity occurred which led to the regulatory action: COMPREHENSIVE ASSET MANAGEMENT AND SERVICING, INC

Product Type: No Product

Allegations: WITHOUT ADMITTING OR DENYING THE FINDINGS, BORN CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE CAUSED HIS MEMBER FIRM'S BOOKS AND RECORDS TO BE INACCURATE. THE FINDINGS STATED THAT BORN BACKDATED, OR CAUSED TO BE BACKDATED, DOCUMENTS RELATING TO THE FIRM'S ANNUAL BRANCH INSPECTIONS TO REFLECT THAT THE INSPECTIONS HAD BEEN COMPLETED IN 2011 WHEN, IN FACT, THEY HAD BEEN COMPLETED IN 2012.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 08/11/2015

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Sanction 1 of 1



Sanction Type: Suspension
Capacities Affected: ANY CAPACITY
Duration: 60 DAYS
Start Date: 09/08/2015
End Date: 11/06/2015

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$5,000.00
Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

I was asked to audit other registered representatives for my broker-dealer. I was given approximately 40 representatives in the autumn of 2011 while at the same time I was servicing my existing clients and obtaining new clients. Towards the beginning of December, I had a conversation with the Chief Compliance Officer and my direct supervisor. I stated that I either needed assistance with the audits or I would not finish the audits by the year end deadline. Both told me to start all of the audits by December 22, 2011 and date the paperwork 12/22/2011, then complete the questionnaires by the second week of January 2012. They said this is the way it works. I did exactly what I was told to do for 4 registered representatives. My supervisor admits to telling me this procedure in his admission found under his BrokerCheck record. The regulators from FINRA called the representatives during their audits of our office and discovered the backdating. FINRA pursued a fine and disbarment for the Chief Compliance Officer. A few years later FINRA then pursued fines and short term suspensions for myself and my supervisor.



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source: Individual
Judgment/Lien Holder: Internal Revenue Service
Judgment/Lien Amount: \$103,085.40
Judgment/Lien Type: Tax
Date Filed with Court: 09/22/2015
Date Individual Learned: 09/26/2015
Type of Court: State Court
Name of Court: Berks County
Location of Court: Berks County, PA
Docket/Case #: 175887815
Judgment/Lien Outstanding? Yes

Broker Statement

In 2013 there was a balance due on my tax return. I owed money to the IRS and was established on a payment plan through automatic bank draft for a couple of months in 2013. For reasons unknown to me and my tax attorney, I was taken off this payment plan. The IRS then filed a lien against me. I constantly tried to get on a payment plan. When I did owe money to the IRS for later years, the IRS agent told me not to pay anything until I was on a payment plan, so I did not pay. The IRS then filed a lien for 2014 and a lien for 2015. All the while, I am working with my tax attorney and a local IRS agent. Errors were discovered on the tax years 2011-2013. An amended return for those tax years were then produced by my CPA and delivered in December 2015 to the local IRS office. The IRS notified me that all years have now been recorded and accepted. In January 2017, my IRS agent left the IRS. With the assistance of a tax service company I acquired a special tax representative with the IRS. In October 2017 I was notified that a payment plan was finally established. That same month the IRS filed a tax lien for a larger amount than due. I am currently up to date on all payments and the balance has been reduced to \$73,000 as of June 2023.



End of Report

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