



IAPD Report

BRADLEY SETH MAYER

CRD# 4034321

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



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

BRADLEY SETH MAYER (CRD# 4034321)

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 **01/07/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	KINGSWOOD WEALTH ADVISORS, LLC	CRD# 288792	03/04/2022
B	KINGSWOOD CAPITAL PARTNERS, LLC	CRD# 288898	05/19/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **5** 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	BENCHMARK INVESTMENTS, LLC	103792	NEW YORK, NY	09/13/2019 - 05/19/2023
IA	BENCHMARK ADVISORY SERVICES, LLC	305662	Pflugerville, TX	10/11/2019 - 02/28/2022
B	IFS SECURITIES	40375	ATLANTA, GA	06/07/2017 - 09/11/2019

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
Termination	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 5 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **KINGSWOOD CAPITAL PARTNERS, LLC**

Main Address: 11440 W. BERNARDO CT.
SUITE 300
SAN DIEGO, CA 92127

Firm ID#: 288898

Regulator	Registration	Status	Date
 FINRA	General Securities Representative	Approved	05/19/2023
 California	Agent	Approved	05/19/2023
 Maryland	Agent	Approved	05/19/2023
 New York	Agent	Approved	05/19/2023
 Texas	Agent	Approved	05/19/2023
 Virginia	Agent	Approved	05/19/2023

Branch Office Locations

Pflugerville, TX

Employment 2 of 2

Firm Name: **KINGSWOOD WEALTH ADVISORS, LLC**

Main Address: 11440 W. BERNARDO COURT
SUITE 300
SAN DIEGO, CA 92127

Firm ID#: 288792

Regulator	Registration	Status	Date
 Texas	Investment Adviser Representative	Approved	03/04/2022



Qualifications

Branch Office Locations

KINGSWOOD WEALTH ADVISORS, LLC
Pflugerville, TX



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, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	10/19/1999

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	02/05/2008
IA B Uniform Combined State Law Examination (S66)	Series 66	11/01/1999

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
B	09/13/2019 - 05/19/2023	BENCHMARK INVESTMENTS, LLC	CRD# 103792	NEW YORK, NY
IA	10/11/2019 - 02/28/2022	BENCHMARK ADVISORY SERVICES, LLC	CRD# 305662	Pfugerville, TX
B	06/07/2017 - 09/11/2019	IFS SECURITIES	CRD# 40375	ATLANTA, GA
IA	06/05/2017 - 09/11/2019	IFS ADVISORY, LLC	CRD# 154680	Plugerville, TX
IA	05/30/2017 - 05/30/2017	IFS ADVISORY, LLC	CRD# 154680	Plugerville, TX
IA	07/16/2016 - 05/26/2017	H. BECK, INC.	CRD# 1763	Austin, TX
B	10/15/2004 - 05/26/2017	H. BECK, INC.	CRD# 1763	Austin, TX
IA	02/19/2016 - 07/14/2016	H. BECK, INC.	CRD# 1763	Austin, TX
IA	05/26/2015 - 12/31/2015	MAYER FINANCIAL SERVICES GROUP, LLC	CRD# 145222	BALTIMORE, MD
IA	02/01/2013 - 12/31/2014	MAYER FINANCIAL SERVICES GROUP, LLC	CRD# 145222	BALTIMORE, MD
IA	11/19/2007 - 12/31/2012	MAYER FINANCIAL SERVICES GROUP, LLC	CRD# 145222	BALTIMORE, MD
IA	10/14/2004 - 10/04/2007	H. BECK, INC.	CRD# 1763	Austin, TX
IA	11/13/2002 - 12/11/2006	INDEPENDENT ADVISERS GROUP CORP	CRD# 106684	BETHESDA, MD
IA	11/01/2002 - 08/17/2004	JEFFERSON PILOT SECURITIES CORP	CRD# 3870	BETHESDA, MD
B	07/22/2002 - 08/17/2004	JEFFERSON PILOT SECURITIES CORPORATION	CRD# 3870	FORT WAYNE, IN
IA	11/18/1999 - 07/10/2002	AMERICAN EXPRESS FINANCIAL ADVISORS, INC.	CRD# 6363	TOWSON, MD
B	10/20/1999 - 07/10/2002	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

Registration Dates	Firm Name	ID#	Branch Location
B 10/20/1999 - 07/10/2002	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

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
05/2023 - Present	KINGSWOOD CAPITAL PARTNERS, LLC	Mass Transfer	Y	New York, NY, United States
02/2022 - Present	Kingswood Wealth Advisors LLC	Investment Advisor	Y	Pflugerville, TX, United States
10/2019 - Present	Benchmark Investments, Inc.	Registered Representative	Y	McDonough, GA, United States
06/2017 - 09/2019	IFS Securities	Registered Representative	Y	Atlanta, GA, United States
10/2004 - 05/2017	H BECK INC.	REGISTERED REPRESENTATIVE	Y	ROCKVILLE, MD, United States
10/2007 - 05/2016	MAYER FINANCIAL SERVICES GROUP	MANAGING MEMBER/IAR	Y	BALTIMORE, MD, 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.

No information reported.



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
Termination	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:	Maryland
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Revocation
Date Initiated:	09/27/2018
Docket/Case Number:	2018-0584
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	No Product
Allegations:	Respondent violated section 11-411(d) of the Maryland Securities Act by failing to timely amend his Form ADV to disclose several tax liens and failing to amend his Form U4 to disclose an Order of the Commissioner.
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?	No



Resolution Date:	02/27/2019
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Other: For period of 3 years, Mayer can only serve his existing Maryland customers, and Mayer must provide the Division with semi-annual reports regarding his judgments/liens until the liens are paid off.
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:	Yes
Date Paid by individual:	09/03/2019
Was any portion of penalty waived?	No
Amount Waived:
Reporting Source:	
Regulatory Action Initiated By:	Individual MARYLAND SECURITIES COMMISSIONER
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	02/27/2019
Docket/Case Number:	2018-0584
Employing firm when activity occurred which led to the regulatory action:	H. BECK, INC.; IFS SECURITIES
Product Type:	No Product
Allegations:	Engaging in dishonest and unethical practices by failing to (1) timely amend U4 to disclose several tax liens and (2) comply with orders issued by Maryland Commissioner.
Current Status:	Final
Resolution:	Order
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:	02/27/2019
Sanctions Ordered:	Cease and Desist Monetary Penalty other than Fines

**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: \$2,000@Consent Order 2/27/19; 1500 2/1/19; 1500 5/1/19
Is Payment Plan Current: Yes
Date Paid by individual: 08/29/2019
Was any portion of penalty waived? No
Amount Waived:

Disclosure 2 of 2

Reporting Source: Regulator
Regulatory Action Initiated By: Maryland
Sanction(s) Sought: Cease and Desist
Other: Conditions on Registration
Date Initiated: 02/01/2017
Docket/Case Number: 2016-1073
URL for Regulatory Action:
Employing firm when activity occurred which led to the regulatory action: n/a
Product Type: No Product
Allegations: The Division alleged that Respondent failed to timely amend his Form U4 to disclose tax liens in violation of section 11-411(d) of the Securities Act, and failed to provide the Division with updates on the status of tax liens, as required by a Conditional Registration Order.
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? No
Resolution Date: 02/24/2017
Sanctions Ordered: Cease and Desist
Other: Within 30 days of Order, Respondent must provide Division with update regarding status of tax judgments/liens and financial statements demonstrating financial solvency and every July 1st and January 1st thereafter until liens are paid in full. On semi-annual basis, Respondent's employing firm must obtain and review Respondent's credit reports.



Regulator Statement	n/a
Reporting Source:	Individual
Regulatory Action Initiated By:	State of Maryland
Sanction(s) Sought:	Cease and Desist
Date Initiated:	02/01/2017
Docket/Case Number:	2016-1073
Employing firm when activity occurred which led to the regulatory action:	H. Beck, Inc.
Product Type:	No Product
Allegations:	The Division alleged that Respondent failed to timely amend his Form U4 to disclose tax liens in violation of section 11-411(d) of the Securities Act, and failed to provide the Division with updates on the status of tax liens, as required by a Conditional Registration Order.
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?	No
Resolution Date:	02/24/2017
Sanctions Ordered:	Cease and Desist Other: Within 30 days of Order, Respondent must provide Division with update regarding status of tax judgments/liens and financial statements demonstrating financial solvency and every July 1st and January 1st thereafter until liens are paid in full. On semi-annual basis, Respondent's employing firm must obtain and review Respondent's credit reports.
Broker Statement	Representative was in the process of moving from Maryland to Texas. If not receive court date until after the 30 day timeframe.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Firm Name: H. Beck, Inc.
Termination Type: Discharged
Termination Date: 05/26/2017
Allegations: Failure to inform the firm of an outstanding tax lien in a timely manner.
Product Type: No Product

Reporting Source: Individual
Firm Name: H. Beck, Inc.
Termination Type: Discharged
Termination Date: 05/26/2017
Allegations: Failure to inform the firm of an outstanding tax lien in a timely manner
Product Type: No Product

Broker Statement
Notification of the lien was sent during a difficult period of my life. My grandmother passed away on the day the lien was granted and a week later my son was diagnosed with [redaction]. I was not in the right state of mind, but when I learned that the lien was past the 30 days, I asked that it be reported immediately. It was reported and asked to be processed by H. Beck on 4/28. They waited until May to report it and I lost confidence in them. They, in-turn, quickly terminated me for cause at the same time I resigned.



End of Report

This page is intentionally left blank.