



IAPD Report

STEVEN JOHN MAYER

CRD# 4138239

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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

STEVEN JOHN MAYER (CRD# 4138239)

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 **02/19/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	12/01/2010
IA	MPWM ADVISORY SOLUTIONS LLC	CRD# 169885	11/05/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **46** 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	LPL FINANCIAL LLC	6413	ALPHARETTA, GA	12/17/2010 - 09/08/2016
IA	CHASE INVESTMENT SERVICES CORP.	25574	NEW YORK, NY	06/08/2004 - 12/02/2010
B	CHASE INVESTMENT SERVICES CORP.	25574	NEW YORK, NY	03/22/2004 - 12/02/2010

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
Customer Dispute	2



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 **46** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	12/01/2010
	FINRA	General Securities Principal	Approved	03/28/2023
	Alabama	Agent	Approved	04/21/2023
	Arizona	Agent	Approved	10/26/2023
	Arkansas	Agent	Approved	02/24/2021
	California	Agent	Approved	11/30/2015
	Colorado	Agent	Approved	04/18/2019
	Connecticut	Agent	Approved	02/22/2012
	Delaware	Agent	Approved	04/25/2023
	District of Columbia	Agent	Approved	11/15/2023
	Florida	Agent	Approved	12/01/2010
	Georgia	Agent	Approved	07/20/2012
	Hawaii	Agent	Approved	05/23/2023



Qualifications

Regulator	Registration	Status	Date
B Illinois	Agent	Approved	06/06/2017
B Indiana	Agent	Approved	04/24/2023
B Iowa	Agent	Approved	02/05/2024
B Kentucky	Agent	Approved	04/21/2023
B Louisiana	Agent	Approved	10/23/2023
B Maine	Agent	Approved	04/21/2023
B Maryland	Agent	Approved	06/28/2012
B Massachusetts	Agent	Approved	04/21/2023
B Michigan	Agent	Approved	04/23/2021
B Minnesota	Agent	Approved	03/12/2021
B Missouri	Agent	Approved	02/24/2021
B Montana	Agent	Approved	10/23/2023
B Nevada	Agent	Approved	07/08/2024
B New Hampshire	Agent	Approved	08/28/2023
B New Jersey	Agent	Approved	12/01/2010
B New Mexico	Agent	Approved	10/02/2023
B New York	Agent	Approved	12/01/2010
B North Carolina	Agent	Approved	05/15/2019
B North Dakota	Agent	Approved	03/01/2021



Qualifications

Regulator	Registration	Status	Date
B Ohio	Agent	Approved	04/21/2023
B Oklahoma	Agent	Approved	04/24/2023
B Oregon	Agent	Approved	03/04/2021
B Pennsylvania	Agent	Approved	04/21/2023
B Puerto Rico	Agent	Approved	09/15/2016
B Rhode Island	Agent	Approved	04/09/2021
B South Carolina	Agent	Approved	05/07/2019
B South Dakota	Agent	Approved	03/04/2021
B Tennessee	Agent	Approved	03/22/2022
B Texas	Agent	Approved	08/14/2017
B Vermont	Agent	Approved	04/24/2023
B Virginia	Agent	Approved	09/07/2012
B Washington	Agent	Approved	02/24/2021
B West Virginia	Agent	Approved	10/02/2023
B Wisconsin	Agent	Approved	06/20/2025
B Wyoming	Agent	Approved	05/05/2025

Branch Office Locations

LPL FINANCIAL LLC
 8000 AVALON BLVD STE 100
 ALPHARETTA, GA 30009


LPL FINANCIAL LLC
 CUMMING, GA

Employment 2 of 2



Qualifications

Firm Name: **MPWM ADVISORY SOLUTIONS LLC**
Main Address: 8000 AVALON BLVD
SUITE 100
ALPHARETTA, GA 30009
Firm ID#: 169885

Regulator	Registration	Status	Date
 Georgia	Investment Adviser Representative	Approved	11/05/2019

Branch Office Locations

MPWM ADVISORY SOLUTIONS LLC
8000 Avalon Blvd
Suite 100
Alpharetta, GA 30009



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	03/28/2023

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	03/09/2000

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	06/07/2004
Uniform Securities Agent State Law Examination (S63)	Series 63	04/03/2000

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	12/17/2010 - 09/08/2016	LPL FINANCIAL LLC	CRD# 6413	ALPHARETTA, GA
IA	06/08/2004 - 12/02/2010	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	NEW YORK, NY
B	03/22/2004 - 12/02/2010	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	NEW YORK, NY
B	11/20/2001 - 03/11/2004	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	11/20/2001 - 03/11/2004	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	03/10/2000 - 10/10/2001	BROOKSTREET SECURITIES CORPORATION	CRD# 14667	SAN JUAN CAPISTRAN

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
05/2015 - Present	MPWM ADVISORY SOLUTIONS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	NEW YORK, NY, United States
01/2015 - Present	MPWM Advisory Solutions	Wealth Manager	Y	Alpharetta, GA, United States
01/2015 - Present	MPWM Advisory Solutions LLC	Investment Adviser Representative	Y	Alpharetta, GA, United States
12/2010 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
12/2010 - Present	LPL FINANCIAL, LLC	Wealth Manager	Y	Alpharetta, GA, 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.

- 06/20/2011 - DBA ONLY, MAYER PRIVATE WEALTH MANAGEMENT
- 02/20/2014 - MPWM ADVISORY SOLUTIONS LLC - REGISTERED INVESTMENT ADVISOR - TIME SPENT 90 HOURS PER MONTH - NEW YORK, NY



Registration & Employment History



OTHER BUSINESS ACTIVITIES

3. 6/3/2015: MPWM ADVISORY SOLUTIONS, LLC - DBA: MAYER PRIVATE WEALTH MANAGEMENT - INVESTMENT RELATED - AT REPORTED BUSINESS LOCATION(S) - REGISTERED INVESTMENT ADVISOR DBA - STARTED 05/21/2015 - 160 HOURS PER MONTH/8 HOURS DURING SECURITIES TRADING - ACTIVITIES MAY INCLUDE FINANCIAL PLANNING, RENDERING INVESTMENT ADVICE FOR A FEE, RETIREMENT PLAN CONSULTING, OR OTHER RELATED FINANCIAL CONSULTING.



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
Customer Dispute	2

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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL LLC
Allegations:	Customer alleges misrepresentation
Product Type:	Other: Annuity
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Over \$5,000
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	01/29/2024
Complaint Pending?	No
Status:	Denied
Status Date:	03/21/2024

Settlement Amount:
Individual Contribution

**Individual Contribution****Amount:****Disclosure 2 of 2**

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CHASE INVESTMENT SERVICES CORP.
Allegations:	CLIENT ALLEGES AN UNSUITABLE RECOMMENDATION RELATING TO THE LIQUIDITY OF AN AUCTION RATE SECURITIES PURCHASE. DAMAGES WERE UNSPECIFIED.
Product Type:	Debt-Municipal
Alleged Damages:	\$0.00
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	03/03/2008
Complaint Pending?	No
Status:	Settled
Status Date:	11/05/2008
Settlement Amount:	\$125,000.00
Individual Contribution Amount:	\$0.00

Broker Statement ON AUGUST 13 AND 14, 2008, JPMORGAN CHASE AGREED TO A SETTLEMENT IN PRINCIPLE WITH THE NEW YORK ATTORNEY GENERAL'S OFFICE, AND THE OFFICE OF FINANCIAL REGULATION FOR THE STATE OF FLORIDA AND THE NORTH AMERICAN SECURITIES ADMINISTRATORS ASSOCIATION TASK FORCE, RESPECTIVELY, WHICH PROVIDED, AMONG OTHER THINGS, THAT THE FIRM WOULD BUY BACK AT PAR CERTAIN AUCTION RATE SECURITIES. AS PART OF THESE SETTLEMENTS, JP MORGAN SECURITIES, INC., PURCHASED BACK FROM CUSTOMERS ARS POSITION(S) AT PAR, IN ADDITION TO PAYING ACCRUED INTEREST ON THE PAR AMOUNT.



End of Report

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