

BEFORE THE  
STATE OF WISCONSIN  
DEPARTMENT OF FINANCIAL INSTITUTIONS  
DIVISION OF SECURITIES

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In the Matter of  
CARLOS A. MAYO

Respondent.

PETITION FOR ORDER

File No. S-04180(LX)

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The staffs of the Licensing & Compliance Section and the Enforcement Unit, Registration & Enforcement Section, of the Division of Securities, Department of Financial Institutions, State of Wisconsin have conducted an investigation in this matter pursuant to sec. 551.56, Wis. Stats. and as a result thereof allege as follows:

1. Carlos A. Mayo ("Mayo") is a securities agent (CRD #2750768) with a last known business address at 825 East Gate Boulevard, Suite 100, Garden City, New York 11530;

2. On May 5, 2004, Mayo applied through the CRD to become licensed as a securities agent in Wisconsin;

3. On May 10, 2004, the staff sent a letter to Mayo's firm with a carbon copy to Mayo stating "that after an initial review of Mayo's application and based on Mayo's disciplinary history, the staff encourages the firm to withdraw the agent's application in Wisconsin." In the alternative, Mayo should provide the staff with a complete narrative statement of the details for all charges and/or actions appearing on the disclosure section of his application. A deadline of May 31, 2004, was given to withdraw or provide information in support of Mayo's application;

4. On June 2, 2004, the staff sent another letter with a carbon copy to Mayo with a deadline of June 16, 2004;

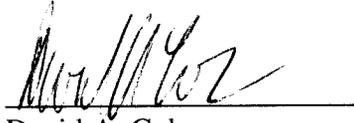
5. On July 7, 2004, the staff sent a letter by certified mail with a carbon copy to Mayo again advising the firm to provide information or withdraw Mayo's application by July 16, 2004. Both letters were signed for and a receipt has been returned to this office;

6. To date, the staff has not received any information;

7. The failure of Mayo to complete his application, as described above, provides a basis, pursuant to sec. 551.34(1)(a), Wis. Stats for the denial of his license application.

THEREFORE, the staffs of the Licensing & Compliance Section and the Enforcement Unit petition the Administrator for the issuance of the attached Order.

DATED this 10<sup>th</sup> day of August, 2004.



David A. Cohen  
Supervising Attorney  
Bureau of Registration and Enforcement



Nancy R. Jackson  
Examiner  
Licensing and Compliance Bureau