



## IAPD Report

# Paul Regis Lang

CRD# 1111162

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

**i** 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

### Paul Regis Lang (CRD# 1111162)

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 **05/01/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	06/16/2017
<b>IA</b>	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	06/16/2017

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **31** 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>	EDWARD JONES	250	ROSWELL, GA	03/02/2007 - 06/19/2017
<b>B</b>	EDWARD JONES	250	ROSWELL, GA	04/19/1983 - 06/19/2017

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

### Employment 1 of 1

Firm Name: **AMERIPRISE FINANCIAL SERVICES, LLC**  
Main Address: 901 3RD AVENUE SOUTH  
MINNEAPOLIS, MN 55402  
Firm ID#: 6363

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	06/16/2017
<b>B</b>	Alabama	Agent	Approved	06/26/2017
<b>B</b>	Alaska	Agent	Approved	09/04/2024
<b>B</b>	Arizona	Agent	Approved	02/01/2023
<b>B</b>	Arkansas	Agent	Approved	01/28/2021
<b>B</b>	California	Agent	Approved	06/16/2017
<b>B</b>	Colorado	Agent	Approved	06/16/2017
<b>B</b>	District of Columbia	Agent	Approved	06/16/2017
<b>B</b>	Florida	Agent	Approved	06/16/2017
<b>B</b>	Georgia	Agent	Approved	06/16/2017
<b>IA</b>	Georgia	Investment Adviser Representative	Approved	06/26/2017
<b>B</b>	Indiana	Agent	Approved	01/14/2021
<b>B</b>	Iowa	Agent	Approved	09/18/2024



### Qualifications

Regulator	Registration	Status	Date
B Kansas	Agent	Approved	11/01/2021
B Maine	Agent	Approved	01/22/2019
B Maryland	Agent	Approved	06/16/2017
B Massachusetts	Agent	Approved	01/21/2025
B Michigan	Agent	Approved	01/22/2019
B Minnesota	Agent	Approved	01/22/2019
B Missouri	Agent	Approved	06/03/2022
B New Hampshire	Agent	Approved	08/14/2023
B New Jersey	Agent	Approved	03/21/2019
B New Mexico	Agent	Approved	05/01/2026
B New York	Agent	Approved	01/22/2019
B North Carolina	Agent	Approved	06/16/2017
B Ohio	Agent	Approved	02/07/2025
B Pennsylvania	Agent	Approved	03/06/2026
B South Carolina	Agent	Approved	07/18/2017
B Tennessee	Agent	Approved	06/16/2017
B Texas	Agent	Approved	06/16/2017
IA Texas	Investment Adviser Representative	Approved	06/16/2017
B Vermont	Agent	Approved	01/03/2025



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Virginia	Agent	Approved	06/16/2017
<b>B</b> Wisconsin	Agent	Approved	06/16/2017

### Branch Office Locations

**AMERIPRISE FINANCIAL SERVICES, LLC**  
1401 Macy Dr  
Roswell, GA 30076

**AMERIPRISE FINANCIAL SERVICES, LLC**  
Roswell, GA




## 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 Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	03/16/1993

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	04/16/1983

#### State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	02/20/2007
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/19/1983

### 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	03/02/2007 - 06/19/2017	EDWARD JONES	CRD# 250	ROSWELL, GA
B	04/19/1983 - 06/19/2017	EDWARD JONES	CRD# 250	ROSWELL, GA

### 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
03/2020 - Present	Ameriprise Financial Services, LLC	Registered Rep	Y	Roswell, GA, United States
06/2017 - 03/2020	AMERIPRISE FINANCIAL SERVICES INC	REGISTERED REP	Y	Alpharetta, GA, United States
02/1983 - 06/2017	EDWARD D. JONES & CO., L.P.	OTHER - REP TRAINEE	Y	ROSWELL, 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.

Real Estate Ownership; Sold Property this past week.; 1002 Macy DrRoswell, GA 30076, , Roswell, GA, 30076; Investment-Related; 06/01/2014. Business Ownership; The Bear and Cub, LLC; Owner; Real Estate; 505 Shelli Ln, , Roswell, GA, 30075; Investment-Related; 06/01/2014; 1 to 9 hours per month; 1 to 9 during trading hours. Other Business Activities; New York Life; Annuity interested party sold this product years ago while I was at Edward Jones.; Regular Address NYL Annuity Service Center P.O. Box 9859 Provide, , ; Not Investment-Related; 07/17/2017; 0 hours per month; 0 during trading hours.



## 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

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	EDWARD JONES
<b>Allegations:</b>	9/8/09; CLIENT ALLEGED HE INSTRUCTED THE FA TO SELL 4,600 SHARES OF AGTHX AND INSTEAD ALL SHARES WERE SOLD. CLIENT DOES NOT MAKE A SPECIFIC CLAIM; HOWEVER, THE COST TO REINSTATE THE SHARES WOULD BE APPROXIMATELY \$8,354.36.
<b>Product Type:</b>	Mutual Fund
<b>Alleged Damages:</b>	\$5,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	ALLEGATIONS CLAIM DAMAGES THAT APPEAR TO BE IN EXCESS OF \$5,000
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	09/17/2009
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	09/30/2009

**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

ACCORDING TO THE FA, THE CLIENT CONTACTED HIS OFFICE ON SEPTEMBER 8, 2009 STATING HIS INTENT TO PLACE TRADES. THE FA HAS INDICATED HE RECEIVED INSTRUCTIONS FROM THE CLIENT TO SELL ALL SHARES OF GROWTH FUND OF AMERICA, AMERICAN MUTUAL FUND, AND WASHINGTON MUTUAL INVESTORS FUND THAT WERE PREVIOUSLY HELD IN THE ACCOUNT. THE FA HAS FURTHER INDICATED HE REPEATED THE INSTRUCTIONS TO CONFIRM THE TRADES AND THE TRADES WERE PLACED ACCORDINGLY.

**Disclosure 2 of 2****Reporting Source:**

Individual

**Employing firm when activities occurred which led to the complaint:**

EDWARD JONES

**Allegations:**

5/21/08-8-20-08; THE CLIENT STATES IN THE SPRING OF 2008 THE FA CONTACTED HIM ABOUT AN ANNUITY SEMIAR HE WAS HAVING WITH LINCOLN AS THE CLIENT HAD JUST SOLD HIS AMERICAN FUNDS IN HIS IRA. THE CLIENT STATES THAT HE HAD A HARD TIME UNDERSTANDING THE ANNUITY AND TALKED WITH THE FA AND THE LINCOLN REP AFTER THE SEMINAR. THE CLIENT CLAIMS HE STILL DID NOT UNDERSTAND THE ANNUITY BUT FELT PRESSURED TO BUY IT. THE CLIENT CLAIMS HE WAS LED TO BELIEVE THE ANNUITY WAS LESS RISKY THAN THE AMERICAN FUNDS HELD IN HIS IRA. THE CLIENT STATES THAT HIS FIRST STATEMENT INDICATED SIGNIFICANT LOSSES. THE CLIENT DECIDED HIS BEST INTEREST HAD NOT BEEN CONSIDERED AND MOVED HIS ACCOUNT OUT OF EDWARD JONES. THE CLIENT STATED LINCOLN CHARGED HIM \$1028.84 IN FEES TO GET OUT OF THE ANNUITY ALONG WITH THE 2% SALES CHARGE AND CLOSE TO A \$60,000 LOSS IN VALUE. THE CLIENT WANTS TO RECOVER FEES, EXPENSES AND LOSSES. LOSSES IN EXCESS OF \$5,000.

**Product Type:**

Annuity(ies) - Variable

**Alleged Damages:**

\$5,000.00

**Customer Complaint Information****Date Complaint Received:** 09/11/2008**Complaint Pending?** No**Status:** Denied**Status Date:** 10/07/2008**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

THE FA STATED THAT THE COSTS ASSOCIATED WITH THE ANNUITY, MORTALITY AND EXPENSE FEES AND ADMIN FEES WERE ALL DISCLOSED AND DISCUSSED PRIOR TO THE PURCHASE. THE POTENTIAL FOR MARKET RISK WAS ALSO DISCUSSED BY THE FA. THE FA STATED THAT ON SEVERAL OCCASIONS THE FA AND A LINCOLN REPRESENTATIVE MET WITH THE CLIENT AND TALK TO THEM OVER THE PHONE TO DISCUSS THE



INVESTMENT PRIOR TO SALE. THE CLIENT WAS PROVIDED WITH A PROSPECTUS AND ACCORDING TO OUR RECORDS THE CLIENT HAS PREVIOUSLY OWNED AN ANNUITY AND IT IS BELIEVED THE CLIENT IS FAMILIAR WITH VARIABLE ANNUITIES IN GENERAL. THE CLIENT ALSO EXECUTED AN ACKNOWLEDGEMENT LETTER AT THE TIME OF PURCHASE INDICATING THE CLIENT UNDERSTOOD THE SPECIFICS OF THE INVESTMENT. THE CLIENT'S CLAIM HAS BEEN DENIED.



## End of Report

This page is intentionally left blank.