



IAPD Report

BRIAN CURTIS LONG

CRD# 2143884

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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

BRIAN CURTIS LONG (CRD# 2143884)

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 **07/01/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PROSPERA FINANCIAL SERVICES, INC.	CRD# 10740	05/16/2025
IA	PROSPERA FINANCIAL SERVICES, INC.	CRD# 10740	05/16/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	CUTTER & COMPANY, INC.	22449	WILDWOOD, MO	06/28/2002 - 05/16/2025
B	CUTTER & COMPANY, INC.	22449	MARYLAND HEIGHTS, MO	05/24/2002 - 05/16/2025
B	FFP SECURITIES, INC.	16337	CHESTERFIELD, MO	01/17/1995 - 05/14/2002

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

Employment 1 of 1

Firm Name: **PROSPERA FINANCIAL SERVICES, INC.**
Main Address: 5429 LBJ FREEWAY
SUITE 750
DALLAS, TX 75240
Firm ID#: 10740

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	05/16/2025
	Arizona	Agent	Approved	05/16/2025
	Florida	Agent	Approved	05/16/2025
	Illinois	Agent	Approved	05/16/2025
	Missouri	Agent	Approved	05/16/2025
	Missouri	Investment Adviser Representative	Approved	05/16/2025

Branch Office Locations

PROSPERA FINANCIAL SERVICES, INC.
Wildwood, MO



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
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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	05/16/1991

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	05/22/2009
B Uniform Securities Agent State Law Examination (S63)	Series 63	05/24/1991



PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	06/28/2002 - 05/16/2025	CUTTER & COMPANY, INC.	CRD# 22449	WILDWOOD, MO
B	05/24/2002 - 05/16/2025	CUTTER & COMPANY, INC.	CRD# 22449	MARYLAND HEIGHTS, MO
B	01/17/1995 - 05/14/2002	FFP SECURITIES, INC.	CRD# 16337	CHESTERFIELD, MO
B	01/11/1993 - 11/22/1994	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	01/11/1993 - 11/22/1994	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	NEW YORK, NY
B	06/06/1992 - 12/07/1992	WALNUT STREET SECURITIES, INC.	CRD# 15840	EL SEGUNDO, CA
B	05/17/1991 - 05/21/1992	HIBBARD BROWN & CO., INC.	CRD# 18246	NEW YORK, NY

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
05/2025 - Present	PROSPERA FINANCIAL SERVICES, INC.	Registered Representative	Y	DALLAS, TX, United States
05/2002 - 05/2025	CUTTER & COMPANY BROKERAGE, INC.	REGISTERED REPRESENTATIVE	Y	BALLWIN, MO, 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.

1. ST LOUIS FINANCIAL GROUP, LLC; INVESTMENT RELATED - YES; 2209 DARTMOUTH GATE CIRCLE, WILDWOOD, MO 63011; DBA; ADVISOR; 02/2022; 160 HOURS PER MONTH; 160 DURING TRADING HOURS; PROVIDING FINANCIAL PLANNING AND INVESTMENT RELATED SERVICES.
2. ST. LOUIS TAX & ACCOUNTING SERVICES LLC; INVESTMENT RELATED - NO; 2209 DARTMOUTH GATE CIRCLE, WILDWOOD, MO 63011; TAX PREPARATION BUSINESS; OWNER; 11/2017; 2 HOURS PER MONTH; 0 DURING TRADING HOURS; WILL RUN BUSINESS AND HIRE A CPA / SEASONAL - FIRST FOUR MONTHS OF THE YEAR.
3. LICENSED WITH UNITED HEALTH CARE TO SELL MEDICARE SUPPLEMENT PLANS; INVESTMENT RELATED-NO; 2209



Registration & Employment History



OTHER BUSINESS ACTIVITIES

DARTMOUTH GATE CIRCLE, WILDWOOD, MO 63011; AGENT SELLING MEDICARE SUPPLEMENT PLANS; 06/2022; 10 HOURS PER MONTH; 10 DURING TRADING HOURS; LEADS WOULD BE PROVIDED, PAID ON A COMMISSION BASIS / POSSIBLE LEAD SOURCE.

4. MODEL NOW TALENT MANAGEMENT; INVESTMENT RELATED - NO; P.O. BOX 762, O'FALLON, MO 63366; FREELANCE MODEL FOR AGENCY; 07/2023; 5 HOURS PER MONTH; 5 DURING TRADING HOURS; MODEL FOR ADVERTISEMENTS.



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
Termination	1

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:	CUTTER & COMPANY, INC
Allegations:	CLIENT ALLEGES THE FINANCIAL ADVISOR DID NOT INVEST HER ASSETS AS AGGRESSIVELY AS SHE DESIRED FROM MARCH 2015 TO APRIL 2019.
Product Type:	Annuity-Variable Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$220,000.00
Alleged Damages Amount Explanation (if amount not exact):	CLIENT ALLEGES SHE INCURRED LOSSES EQUIVALENT TO WHAT HER ACCOUNT WAS INVESTED IN VERSUS BEING FULLY INVESTED IN THE S&P 500 INDEX.
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:	06/03/2019
Complaint Pending?	No
Status:	Denied



Status Date: 06/25/2019

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 21-00806

Date Notice/Process Served: 03/25/2021

Arbitration Pending? Yes

Broker Statement I vehemently deny all claims by this client. Over the past 3 1/2 to 4 years that I helped this client with her investments, I only worked in her best interests. I created a plan for the client utilizing investment products that would meet her needs and goals, as indicated by the responses given on her account opening documents. Each product and their return were discussed in detail at the multiple meetings we had, both in person and on the phone. This client never mentioned wanting an aggressive growth portfolio, which is what she is now alleging. The portfolios that were chosen were similar to the allocations she had at other past and current firms. Additionally, my broker dealer completed a thorough investigation into this complaint when received and denied this claim in full. Losses were never incurred by the client. I believe I invested for this client with products best suited for her needs and once again, deny her allegations to the fullest extent.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: FFP SECURITIES, INC.

Allegations: TWO CLIENTS VERBALLY COMPLAINED REGARDING THE FACE AMOUNT OF POLICIES PURCHASED THROUGH BRIAN LONG.

Product Type: Other

Other Product Type(s): VARIABLE LIFE POLICIES

Alleged Damages: \$14,483.35

Customer Complaint Information

Date Complaint Received: 12/20/2001

Complaint Pending? No

Status: Settled

Status Date: 04/04/2002

Settlement Amount: \$14,483.25

Individual Contribution Amount: \$14,483.25



Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FFP SECURITIES, INC.
Allegations:	TWO CLIENTS VERBALLY COMPLAINED REGARDING THE FACE AMOUNT OF POLICIES PURCHASED THROUGH BRIAN LONG.
Product Type:	Other
Other Product Type(s):	VARIABLE LIFE POLICIES
Alleged Damages:	\$14,483.35

Customer Complaint Information

Date Complaint Received:	12/20/2001
Complaint Pending?	No
Status:	Settled
Status Date:	04/04/2002
Settlement Amount:	\$14,483.25
Individual Contribution Amount:	\$14,483.25



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:	Individual
Firm Name:	FFP SECURITIES, INC.
Termination Type:	Discharged
Termination Date:	05/09/2002
Allegations:	FAILURE TO FOLLOW FFP POLICIES.
Product Type:	Annuity(ies) - Variable
Other Product Types:	
Broker Statement	TWO CLIENTS VERBALLY EXPRESSED CONCERNS REGARDING THE FACE AMOUNT OF POLICIES PURCHASED THROUGH BRIAN LONG. THE CLIENTS' POLICIES WERE TERMINATED AND MARKET LOSSES WERE REIMBURSED.



End of Report

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