



## IAPD Report

# BRIAN SCOTT LANGLEY

CRD# 2439767

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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

### BRIAN SCOTT LANGLEY (CRD# 2439767)

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 **11/04/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>IA</b>	LANGLEY WEALTH MANAGEMENT, LLC	CRD# 312823	08/23/2021

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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>B</b>	ALLEN C. EWING & CO.	26102	Corinth, MS	02/10/2022 - 11/04/2024
<b>B</b>	AMERICAN WEALTH MANAGEMENT, INC.	25536	Corinth, MS	05/01/2018 - 02/11/2022
<b>IA</b>	HAYDEN ROYAL	170037	CORINTH, MS	01/14/2015 - 09/20/2021

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	1
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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **LANGLEY WEALTH MANAGEMENT, LLC**  
Main Address: 605 FOOTE STREET  
CORINTH, MS 38834  
Firm ID#: 312823

Regulator	Registration	Status	Date
<b>IA</b> Mississippi	Investment Adviser Representative	Approved	08/23/2021

### Branch Office Locations

**LANGLEY WEALTH MANAGEMENT, LLC**  
605 FOOTE STREET  
CORINTH, MS 38834



## 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
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	04/18/1994
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#### State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	01/15/2007
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Uniform Securities Agent State Law Examination (S63)	Series 63	04/26/1994
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### 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	02/10/2022 - 11/04/2024	ALLEN C. EWING & CO.	CRD# 26102	Corinth, MS
B	05/01/2018 - 02/11/2022	AMERICAN WEALTH MANAGEMENT, INC.	CRD# 25536	Corinth, MS
IA	01/14/2015 - 09/20/2021	HAYDEN ROYAL	CRD# 170037	CORINTH, MS
B	11/20/2014 - 05/07/2018	ALLEN C. EWING & CO.	CRD# 26102	JACKSONVILLE, FL
IA	12/24/2014 - 12/31/2014	GREAT LAKES & ATLANTIC WEALTH MANAGEMENT AND ADVISORY PARTNERS	CRD# 170037	CORINTH, MS
IA	01/25/2007 - 11/06/2014	EDWARD JONES	CRD# 250	CORINTH, MS
B	04/19/1994 - 11/06/2014	EDWARD JONES	CRD# 250	CORINTH, MS

### 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
02/2022 - Present	Allen C. Ewing & Co.	Registered Representative	Y	Charlotte, NC, United States
08/2021 - Present	Langley Wealth Management, LLC	Founder and Managing Partner / Investment Advisor Representative	Y	Corinth, MS, United States
05/2018 - 02/2022	American Wealth Management, Inc.	Registered Representative	Y	Corinth, MS, United States
01/2015 - 08/2021	Hayden Royal, LLC	Investment Advisor Representative	Y	Corinth, MS, United States
11/2014 - 05/2018	ALLEN C. EWING & CO.	Registered Representative	Y	Jacksonville, FL, United States



## Registration & Employment History



### 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.

Brian Langley is dually-registered as an Investment Advisor Representative with Langley Wealth Management, LLC ("LWM"- since 08/2021) and as a Registered Representative with "Allen C. Ewing & Co." - since 02/2022. Business is conducted from 605 Foote Street, Corinth, MS 38834. Approximately 90% of Mr. Langley's time is for services as an Investment Advisor Representative and the balance as a Registered Representative. LWM and Allen C. Ewing & Co. are not affiliated.

SMART FARMS, LLC  
FARMING  
SINCE 7/1/2001  
LIMITED PARTNER  
NO TIME SPENT DURING TRADING HOURS

LANGLEY FARMS LLC  
CATTLE & TREE FARM  
SINCE 2/25/2004  
LIMITED PARTNER  
NO TIME SPENT DURING TRADING HOURS

LANGLEY HOLDINGS LLC  
OWNER  
FAMILY ASSETS  
STARTED: 08/25/2006  
NO TIME SPENT

FOOTE STREET LLC - NOT INVESTMENT RELATED  
NATURE OF BUSINESS: RENTAL PROPERTY LOCATED IN CORINTH, MS  
SINCE 12/23/2004  
POSITION: LIMITED PARTNER  
ZERO HOURS DEVOTED PER MONTH  
DUTIES: NONE

MiArk Hunt Club, LLC and MiArk II, LLC  
Arkansas Land Leasing Company  
Organizer/Member  
0 Trading Hours

LMW Insurance Agency  
Mississippi Insurance Agency  
80% Owner  
Hours as needed to accommodate clients



## 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	1
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 1

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	EDWARD JONES
<b>Allegations:</b>	THE CLIENT ALLEGED THAT HIS ACCOUNT LOST APPROXIMATELY \$120,000 FROM JUNE 20, 2001, TO JANUARY 1, 2004. CLIENT STATED THAT THIS LOSS WAS ATTRIBUTABLE TO THE FACT THAT THE STOCKS SELECTED DID NOT MEET HIS INVESTMENT OBJECTIVES.
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Alleged Damages:</b>	\$120,000.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	01/30/2004
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	02/17/2004

#### Settlement Amount:

#### Individual Contribution Amount:

**Broker Statement** THE IR STATED THAT HE FOLLOWED THIS CLIENT'S INSTRUCTIONS ON THIS ACCOUNT AND NEVER REFUSED TO ENTER A SELL ORDER. THE IR ADVISED THAT THE CLIENT LIKED TO BUY DEPRESSED STOCKS THAT



WERE SOMETIMES FINANCIALLY UNSTABLE AND TURN THEM QUICKLY FOR A PROFIT. WHEN THE CLIENT AUTHORIZED THE SALE OF 5,000 SHARES OF BANCORPSOUTH, IR SUGGESTED THAT CLIENT USE THE PROCEEDS TO PURCHASE ICA OR INVEST IN THE AMERICAN LEGACY ANNUITY. THE IR PROVIDED HYPOTHETICAL ILLUSTRATIONS ON BOTH OF THESE INVESTMENTS. THE IR ALSO SUGGESTED SEVERAL EDWARD JONES RECOMMENDED STOCKS, E.G., LUCENT, WORLD.COM, SUN MICROSYSTEMS AND CHARTER COMMUNICATIONS. THE CLIENT AUTHORIZED THE PURCHASE OF THESE STOCKS AND THEY EVENTUALLY DECLINED IN VALUE. ACCORDING TO THE IR, OVER THE PAST FEW YEARS HE HAD SEVERAL CONVERSATIONS WITH CLIENT REGARDING MARKET FLUCTUATION AND THE VALUE OF CLIENT'S ACCOUNT. CLAIM DENIED.



## 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

<b>Reporting Source:</b>	Individual
<b>Firm Name:</b>	EDWARD JONES (250)
<b>Termination Type:</b>	Discharged
<b>Termination Date:</b>	10/07/2014
<b>Allegations:</b>	MR. LANGLEY ADMITTED TO SOLICITING TO A FIRM CLIENT TO PURCHASE REAL ESTATE THROUGH A SEALED BID PROCESS WITH AN AGREEMENT BETWEEN THEM THAT THE CLIENT WOULD LATER SELL THE REAL ESTATE TO MR. LANGLEY FOR A 10% PREMIUM ON THE CLIENT'S PURCHASE PRICE. MR. LANGLEY FAILED TO SEEK APPROVAL FOR THE REAL ESTATE TRANSACTION WITH THE CLIENT NOR DID HE DISCLOSE IT TO THE FIRM. IT WAS A CONVERSATION HOWEVER, AND NO TRANSACTION EVER ACTUALLY TOOK PLACE.
<b>Product Type:</b>	No Product
<b>Broker Statement</b>	THESE ALLEGATIONS LED TO A FINRA INQUIRY, WHICH CAME UP CLEAR WITH NO ADDITIONAL INQUIRY OR ACTION TO TAKE.



## End of Report

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