



IAPD Report

KENNETH BRUCE LANG

CRD# 301873

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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

KENNETH BRUCE LANG (CRD# 301873)

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 **02/12/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	&PARTNERS	CRD# 3767	01/29/2025
IA	&PARTNERS	CRD# 3767	01/29/2025

QUALIFICATIONS

This representative is currently registered in **1** 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
IA	WELLS FARGO ADVISORS	11025	LITTLETON, CO	09/03/2013 - 02/04/2025
B	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	11025	LITTLETON, CO	09/03/2013 - 02/04/2025
B	WELLS FARGO ADVISORS, LLC	19616	DENVER, CO	09/04/1990 - 09/03/2013

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



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 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **&PARTNERS**
Main Address: 40 BURTON HILLS BLVD
SUITE 350
NASHVILLE, TN 37215
Firm ID#: 3767

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	01/29/2025
B FINRA	General Securities Representative	Approved	01/29/2025
B FINRA	General Securities Sales Supervisor	Approved	01/29/2025
B FINRA	Registered Options Principal	Approved	01/29/2025
B FINRA	Municipal Securities Principal	Approved	02/12/2025
B FINRA	Municipal Securities Representative	Approved	02/12/2025
B Colorado	Agent	Approved	01/29/2025
IA Colorado	Investment Adviser Representative	Approved	01/29/2025

Branch Office Locations

&PARTNERS
1899 W Littleton Blvd.
Littleton, CO 80120










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 7 principal/supervisory exams, 7 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 Municipal Securities Principal Examination (S53)	Series 53	01/02/2023
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 General Securities Principal Examination (S24)	Series 24	01/02/2023
 Registered Options Principal Examination (S4)	Series 4	09/13/1977
 Registered Principal Examination (S40)	Series 40	09/09/1977
 NYSE Branch Manager Examination (S12)	Series 12	05/22/1973

General Industry/Product Exams


Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	02/12/2025
 General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	10/11/2005
 Interest Rate Options Examination (S5)	Series 5	11/14/1981
 General Securities Principal Examination (S000)	Series 000	12/10/1969





Qualifications

PASSED INDUSTRY EXAMS

General Industry/Product Exams

Exam	Category	Date
 Registered Representative Examination (S1)	Series 1	12/10/1969

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	01/17/1994
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/01/1983

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	09/03/2013 - 02/04/2025	WELLS FARGO ADVISORS	CRD# 11025	LITTLETON, CO
B	09/03/2013 - 02/04/2025	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	LITTLETON, CO
B	09/04/1990 - 09/03/2013	WELLS FARGO ADVISORS, LLC	CRD# 19616	DENVER, CO
IA	09/04/1990 - 09/03/2013	WELLS FARGO ADVISORS, LLC	CRD# 19616	DENVER, CO
B	01/20/1988 - 09/04/1990	BOETTCHER & COMPANY, INC.	CRD# 101	
B	04/10/1984 - 01/27/1988	HANIFEN, IMHOFF INC.	CRD# 2126	
B	12/10/1969 - 04/12/1984	BOETTCHER & COMPANY, INC.	CRD# 101	
B	12/15/1969 - 07/07/1979	PAINE, WEBBER, JACKSON & CURTIS INCORPORATED	CRD# 640	

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
01/2025 - Present	&PARTNERS	Financial Advisor	Y	Nashville, TN, United States
09/2013 - Present	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	REGISTERED REP	Y	LITTLETON, CO, 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.

FINRA, NOT INVT RELATED, NEW YORK, NY, ARBITRATOR, START 3/3/2010, 0 HRS PER MONTH, 0 HRS DURING TRADING.

LIG REAL ESTATE, LLC; NOT INV. RELATED; LITTLETON,CO; 33.33% OWNERSHIP; START DATE 06/23/2020; NUMBER OF HOURS PER MONTH 0; NUMBER OF HOURS DURING TRADING 0; OFFICE FOR FINET PRACTICE.



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

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

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: HANIFEN IMHOFF, INC

Allegations: ALLEGED NEGLIGENT MISREPRESENTATION IN ENTERING INTO AN AGREEMENT W/ HANIFEN & K. BRUCE LANG TO BROKERAGE CERTAIN INTERNATIONAL FINANCE TRANSACTIONS WITH NON U.S. RESIDENT BANKS & INSURANCE COS. ALLEGED COMPENSATORY DAMAGES (JOINTLY) \$132,000 & PUNITIVE ACCORDING TO PROOF AT TRIAL

Product Type:

Alleged Damages: \$132,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information



Court Details: US DIST; DIST OF CO; 88-B-1889

Date Notice/Process Served: 11/16/1988

Litigation Pending? No

Disposition: Settled

Disposition Date: 10/26/1990

Monetary Compensation Amount: \$85,000.00

Individual Contribution Amount: \$4,000.00

Firm Statement

"AGREEMENT OF COMPROMISE AND SETTLEMENT" SIGNED & RECEIVED OCTOBER 26, 1990, IN CONSIDERATION OF PAYMENT TO PLAINTIFFS OF \$85,000.00 MV FINANCE ET.AL. AGREED TO RELEASE H.I. & K.BRUCE LANG FROM ALL CLAIMS ARISING FROM ITS CIVIL COMPLAINT & IS FILING A STIPULATION FOR DISMISSAL WITH THE COURT.

PARTIES REACHED A SETTLEMENT AGREEMENT IN PRINCIPAL ON AUGUST 22, 1990, PRIOR TO THE SCHEDULED TRIAL DATES SET FOR AUGUST, 1990, HOWEVER AN "AGREEMENT OF SETTLEMENT AND COMPROMISE" WAS EXECUTED BY ALL PARTIES INVOLVED AND RECEIVED ON OCTOBER 26, 1990. THE PARTIES INTEND THAT NO PART OF THIS PAYMENT INVOLVED CONSTITUTES WAGES OR PAYMENT FOR SERVICES. H.I. AND K. BRUCE LANG MAINTAIN THAT THEY OWE NO WAGES, BENEFITS OR PAYMENTS FOR SERVICES TO PLAINTIFFS. DEFENDANTS ARE PAYING THIS SUM TO COMPENSATE PLAINTIFFS FOR THEIR ATTORNEY'S FEES, THEIR LITIGATION COSTS, AND TO AVOID THE FURTHER COSTS OF UNCERTAINTIES OF LITIGATION. BRUCE LANG'S PARTICIPATION IN THE SETTLEMENT WAS LESS THAN \$5,000 (APPROX. \$4000)

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: HANIFEN IMHOFF, INC

Allegations: THE PLAINTIFF'S ALLEGED THEY RELIED ON NEGLIGENT MISREPRESENTATION IN ENTERING INTO THIS AGREEMENT WITH HANIFEN, IMHOFF, INC., THROUGH ITS AGENT K. BRUCE LANG, TO BROKER CERTAIN INTERNATIONAL FINANCIAL TRANSACTIONS WITH NON-U.S. RESIDENT BANKS AND INSURANCE COMPANIES. PLAINTIFF'S ARE SEEKING COMPENSATORY DAMAGES (JOINTLY) IN THE AMOUNT OF \$132,000.00 AND PUNITIVE DAMAGES WHICH ARE ACCORDING TO PROOF OF TRIAL.

Product Type:

Alleged Damages: \$132,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation



Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: US DIST; DIST OF CO; 88-B-1889

Date Notice/Process Served: 11/16/1988

Litigation Pending? No

Disposition: Settled

Disposition Date: 10/26/1990

Monetary Compensation Amount: \$85,000.00

Individual Contribution Amount: \$4,000.00

Broker Statement PAYMENT=\$85,000.00
MR. LANG DENIED ANY LIABILITY AND IN THE SETTLEMENT AGREEMENT IT WAS MADE CLEAR THERE WAS NO ADMISSION OF LIABILITY. MR. LANGS CONTRIBUTION TO THE SETTLEMENT WAS LESS THAN \$5,000 AND THIS AMOUNT WAS CONTIBUTED SOLEY TO AVIOD INCURRING LEGAL FEES.



End of Report

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