



IAPD Report

AMY LONG

CRD# 4012838

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 7
Registration and Employment History	8 - 9
Disclosure Information	10

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

AMY LONG (CRD# 4012838)

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 **03/01/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	04/21/2021
IA	WELLS FARGO ADVISORS	CRD# 19616	04/22/2021

QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **53** 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	RAYMOND JAMES & ASSOCIATES, INC.	705	ST. PETERSBURG, FL	02/14/2019 - 04/15/2021
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	SAINT PETERSBURG, FL	03/09/2018 - 04/15/2021
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	ST PETERSBURG, FL	03/27/2017 - 04/15/2021

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
Regulatory Event	3



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 **53** jurisdiction(s) and 11 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **WELLS FARGO ADVISORS**
Main Address: ONE NORTH JEFFERSON AVENUE
MAIL CODE: H0004-05E
ST. LOUIS, MO 63103-2205
Firm ID#: 19616

Regulator	Registration	Status	Date
B Cboe BZX Exchange, Inc.	General Securities Principal	Approved	04/21/2021
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	04/21/2021
B Cboe Exchange, Inc.	General Securities Representative	Approved	04/21/2021
B Cboe Exchange, Inc.	General Securities Principal	Approved	09/11/2021
B FINRA	General Securities Principal	Approved	04/22/2021
B FINRA	General Securities Representative	Approved	04/22/2021
B NYSE American LLC	General Securities Principal	Approved	04/21/2021
B NYSE American LLC	General Securities Representative	Approved	04/21/2021
B NYSE Arca, Inc.	General Securities Principal	Approved	04/21/2021
B NYSE Arca, Inc.	General Securities Representative	Approved	04/21/2021
B NYSE Texas, Inc.	General Securities Principal	Approved	04/21/2021
B NYSE Texas, Inc.	General Securities Representative	Approved	04/21/2021
B Nasdaq GEMX, LLC	General Securities Principal	Approved	04/21/2021



Qualifications

Regulator	Registration	Status	Date
B Nasdaq GEMX, LLC	General Securities Representative	Approved	04/21/2021
B Nasdaq ISE, LLC	General Securities Principal	Approved	04/21/2021
B Nasdaq ISE, LLC	General Securities Representative	Approved	04/21/2021
B Nasdaq PHLX LLC	General Securities Principal	Approved	04/21/2021
B Nasdaq PHLX LLC	General Securities Representative	Approved	04/21/2021
B Nasdaq Stock Market	General Securities Principal	Approved	04/21/2021
B Nasdaq Stock Market	General Securities Representative	Approved	04/21/2021
B New York Stock Exchange	General Securities Principal	Approved	04/21/2021
B New York Stock Exchange	General Securities Representative	Approved	04/21/2021
B Alabama	Agent	Approved	06/24/2021
B Alaska	Agent	Approved	08/11/2021
B Arizona	Agent	Approved	05/27/2021
B Arkansas	Agent	Approved	08/11/2021
B California	Agent	Approved	05/21/2021
B Colorado	Agent	Approved	06/24/2021
B Connecticut	Agent	Approved	05/21/2021
B Delaware	Agent	Approved	06/01/2021
B District of Columbia	Agent	Approved	05/21/2021
B Florida	Agent	Approved	04/22/2021



Qualifications

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	04/22/2021
B Georgia	Agent	Approved	05/21/2021
B Hawaii	Agent	Approved	08/11/2021
B Idaho	Agent	Approved	07/27/2021
B Illinois	Agent	Approved	07/23/2021
B Indiana	Agent	Approved	05/26/2021
B Iowa	Agent	Approved	05/21/2021
B Kansas	Agent	Approved	07/27/2021
B Kentucky	Agent	Approved	08/02/2021
B Louisiana	Agent	Approved	07/27/2021
B Maine	Agent	Approved	06/10/2021
B Maryland	Agent	Approved	05/24/2021
B Massachusetts	Agent	Approved	06/23/2021
B Michigan	Agent	Approved	06/25/2021
B Minnesota	Agent	Approved	06/24/2021
B Mississippi	Agent	Approved	05/21/2021
B Missouri	Agent	Approved	06/10/2021
B Montana	Agent	Approved	07/27/2021
B Nebraska	Agent	Approved	06/24/2021



Qualifications

Regulator	Registration	Status	Date
B Nevada	Agent	Approved	07/06/2021
B New Hampshire	Agent	Approved	07/27/2021
B New Jersey	Agent	Approved	05/21/2021
B New Mexico	Agent	Approved	07/27/2021
B New York	Agent	Approved	05/31/2021
B North Carolina	Agent	Approved	05/24/2021
B North Dakota	Agent	Approved	07/28/2021
B Ohio	Agent	Approved	05/21/2021
B Oklahoma	Agent	Approved	06/29/2021
B Oregon	Agent	Approved	05/28/2021
B Pennsylvania	Agent	Approved	06/24/2021
B Puerto Rico	Agent	Approved	07/08/2021
B Rhode Island	Agent	Approved	05/25/2021
B South Carolina	Agent	Approved	05/25/2021
B South Dakota	Agent	Approved	08/18/2021
B Tennessee	Agent	Approved	05/21/2021
B Texas	Agent	Approved	05/21/2021
IA Texas	Investment Adviser Representative	Restricted Approval	05/24/2021



Qualifications

Regulator	Registration	Status	Date
B Utah	Agent	Approved	07/27/2021
B Vermont	Agent	Approved	06/24/2021
B Virgin Islands	Agent	Approved	07/28/2021
B Virginia	Agent	Approved	05/27/2021
B Washington	Agent	Approved	05/21/2021
B West Virginia	Agent	Approved	07/09/2021
B Wisconsin	Agent	Approved	06/24/2021
B Wyoming	Agent	Approved	07/16/2021

Branch Office Locations

WELLS FARGO ADVISORS
100 S ASHLEY DR 9TH FL
[F6-RBO]
TAMPA, FL 33602




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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	08/17/2017
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	01/29/2014

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	07/01/2014
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/18/2013

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	03/04/2015
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/16/2014

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	02/14/2019 - 04/15/2021	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	ST. PETERSBURG, FL
IA	03/09/2018 - 04/15/2021	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	SAINT PETERSBURG, FL
B	03/27/2017 - 04/15/2021	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	ST PETERSBURG, FL
IA	03/24/2017 - 02/12/2018	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	ST. PETERSBURG, FL
B	03/23/2017 - 02/12/2018	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	ST. PETERSBURG, FL
IA	08/24/2016 - 03/09/2017	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	TAMPA, FL
B	07/12/2016 - 03/09/2017	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	TAMPA, FL
IA	04/14/2015 - 07/08/2016	USAA FINANCIAL PLANNING SERVICES	CRD# 106352	TAMPA, FL
B	06/04/2014 - 07/08/2016	USAA FINANCIAL ADVISORS, INC.	CRD# 129035	TAMPA, FL
B	07/15/2013 - 04/15/2014	METLIFE INVESTORS DISTRIBUTION COMPANY	CRD# 107622	NEW YORK CITY, NY
B	04/22/2013 - 04/15/2014	NEW ENGLAND SECURITIES	CRD# 615	TAMPA, FL
B	04/19/2013 - 04/15/2014	METLIFE SECURITIES INC.	CRD# 14251	TAMPA, FL
IA	02/27/2001 - 03/30/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	TAMPA, FL
B	02/20/2001 - 03/30/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO



Registration & Employment History

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
04/2021 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	TAMPA, FL, United States
03/2018 - 04/2021	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC.	INVESTMENT ADVISER REP	Y	SAINT PETERSBURG, FL, United States
03/2017 - 04/2021	RAYMOND JAMES & ASSOCIATES	REGISTERED ASSOCIATE	Y	ST. PETERSBURG, FL, United States
03/2017 - 04/2021	RAYMOND JAMES FINANCIAL SERVICES	REGISTERED ASSOCIATE	Y	ST PETERSBURG, FL, United States
07/2016 - 03/2017	VALIC FINANCIAL ADVISORS, INC.	REGISTERED REPRESENTATIVE	Y	TAMPA, FL, United States
05/2014 - 07/2016	USAA FINANCIAL ADVISORS, INC.	REGISTERED REP	Y	TAMPA, FL, United States
05/2014 - 07/2016	USAA FINANCIAL PLANNING SERVICES	SPLZD INVESTMENT SERVICES REP III	Y	TAMPA, FL, 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.

No information reported.



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
Regulatory Event	3

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 3

Reporting Source:	Individual
Regulatory Action Initiated By:	Indiana Department of Insurance
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	10/26/2015
Docket/Case Number:	14419-ag15-0921-250
Employing firm when activity occurred which led to the regulatory action:	USAA Financial Advisors, Inc.
Product Type:	No Product
Allegations:	I applied for a non resident license with the state of Indiana. I unknowingly stated that I had never been subject to administrative action. My license had been revoked in Washington and it wasn't discovered until I started to reapply for non resident license.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	10/26/2015
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)

**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$250.00**Portion Levied against individual:** \$250.00**Payment Plan:** Paid in Full**Is Payment Plan Current:** Yes**Date Paid by individual:** 09/23/2015**Was any portion of penalty waived?** No**Amount Waived:****Broker Statement**

My license was revoked in Washington because I did not respond to an inquiry about my continuing education due to my contact information being out of date. It was not my intention to not comply and was simply an oversight on my part. When I applied for non resident licenses in the state of Indiana I unknowingly stated that I had never been subject to an administrative action. I did not intend to be misleading or deceptive in any manner and never would.

Disclosure 2 of 3**Reporting Source:** Individual**Regulatory Action Initiated By:** Washington Office of The Insurance Commissioner**Sanction(s) Sought:** Civil and Administrative Penalty(ies)/Fine(s)
Revocation**Date Initiated:** 04/09/2014**Docket/Case Number:** 14-0067**Employing firm when activity occurred which led to the regulatory action:** MetLife**Product Type:** No Product**Allegations:** On 4/23/14 my Washington non-resident license was revoked for failure to respond to an inquiry and failure to update contact information.**Current Status:** Final**Resolution:** Order**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** Yes**Resolution Date:** 04/23/2014**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)
Revocation

**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$250.00**Portion Levied against individual:** \$250.00**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:** 01/26/2016**Was any portion of penalty waived?** No**Amount Waived:****Broker Statement**

My license was unknowingly revoked in Washington due to failure to respond about an inquiry concerning my continuing education requirements. I did not know this happened due to a change in contact information. My intention was never to be deceptive or misleading and was simply an oversight on my part.

Disclosure 3 of 3**Reporting Source:** Individual**Regulatory Action Initiated By:** Oregon Division of Financial Regulation**Sanction(s) Sought:** Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)**Date Initiated:** 07/22/2015**Docket/Case Number:** ins-16-0013**Employing firm when activity occurred which led to the regulatory action:** USAA Financial Advisors, Inc.**Product Type:** No Product**Allegations:** On July 22, 2015 I applied for an Oregon non-resident producer license. I submitted to the division, an application form indicating that I had never been involved as a party in an administrative proceeding. During review of application the division learned that I was subject to a previous administrative proceeding in Washington. I was unaware of this administrative action and it wasn't discovered until after the application was filed.**Current Status:** Final**Resolution:** Order**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No**Resolution Date:** 02/15/2016**Sanctions Ordered:** Cease and Desist



Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$500.00

Portion Levied against individual: \$500.00

Payment Plan: Paid in Full

Is Payment Plan Current: Yes

Date Paid by individual: 02/04/2016

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

My license was revoked in Washington because I did not respond to an inquiry about my continuing education due to my contact information being out of date. It was not my intention to not comply and was simply an oversight on my part. When I applied for non resident licenses in the state of Oregon I unknowingly stated that I had never been subject to an administrative action. I did not intend to be misleading or deceptive in any manner and never would.



End of Report

This page is intentionally left blank.