



IAPD Report

CAMPBELL HUXLEY BROWN

CRD# 845340

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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

CAMPBELL HUXLEY BROWN (CRD# 845340)

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 **02/24/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	BROWN ASSOCIATES, INC.	CRD# 5049	11/16/1977
IA	GARTH & BROWN INVESTMENT MANAGEMENT, LLC	CRD# 151128	11/30/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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
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No information reported.

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

Employment 1 of 2

Firm Name: **BROWN ASSOCIATES, INC.**
Main Address: 819 BROAD STREET
CHATTANOOGA, TN 37402-2613
Firm ID#: 5049

Regulator	Registration	Status	Date
B FINRA	Direct Participation Programs	Approved	11/16/1977
B FINRA	Invest. Co and Variable Contracts	Approved	11/16/1977
B FINRA	General Securities Representative	Approved	05/24/1979
B FINRA	General Securities Principal	Approved	01/25/2010
B FINRA	Investment Banking Representative	Approved	04/30/2010
B FINRA	Operations Professional	Approved	11/01/2011
B FINRA	Registered Options Principal	Approved	08/23/2016
B FINRA	Compliance Officer	Approved	10/01/2018
B FINRA	Investment Banking Principal	Approved	10/01/2018
B Alabama	Agent	Approved	12/07/2007
B California	Agent	Approved	08/03/2016
B Florida	Agent	Approved	12/07/2007
B Georgia	Agent	Approved	09/14/1982



Qualifications

Regulator	Registration	Status	Date
B Maryland	Agent	Approved	04/19/2022
B North Carolina	Agent	Approved	07/14/2017
B South Carolina	Agent	Approved	03/18/1994
B Tennessee	Agent	Approved	01/01/1978
B Texas	Agent	Approved	07/12/2017

Branch Office Locations

819 BROAD STREET
CHATTANOOGA, TN 37402-2613

Employment 2 of 2

Firm Name: **GARTH & BROWN INVESTMENT MANAGEMENT, LLC**
 Main Address: 819 BROAD STREET
 CHATTANOOGA, TN 37402-2613
 Firm ID#: 151128

Regulator	Registration	Status	Date
IA Georgia	Investment Adviser Representative	Approved	02/23/2017
IA Tennessee	Investment Adviser Representative	Approved	11/30/2016

Branch Office Locations

GARTH & BROWN INVESTMENT MANAGEMENT, LLC
 819 BROAD STREET
 CHATTANOOGA, TN 37402-2613






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


Principal/Supervisory Exams

Exam	Category	Date
 Compliance Officer Examination (S14)	Series 14	01/02/2023
 Registered Options Principal Examination (S4)	Series 4	08/23/2016
 General Securities Principal Examination (S24)	Series 24	01/22/2010

General Industry/Product Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
 Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
 Direct Participation Programs Representative Examination (S22TO)	Series 22TO	01/02/2023
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	05/19/1979
 Registered Representative Examination (S1)	Series 1	11/08/1977

State Securities Law Exams


Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	11/22/2016



Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/28/1981

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:

No information reported.

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
06/1976 - Present	BROWN ASSOCIATES, INC.	CCO	Y	CHATTANOOGA, TN, 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. E. BROWN FAMILY LP. 819 BROAD STREET, CHATTANOOGA TN 37402, NON-INVESTMENT RELATED, FAMILY PARTNERSHIP, MANAGING MEMBER STARTED SEPTEMBER, 2016, 1 HOURS/MONTH AND ABOUT 1 HOURS/MONTH DURING SECURITIES TRADING HOURS. REPRESENTATIVE FOR THE FAMILY PARTNERSHIP AS MANAGING MEMBER.



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	1

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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	04/22/1988
Docket/Case Number:	ATL-973
Employing firm when activity occurred which led to the regulatory action:	BROWN ASSOCIATES, INC.
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Consent
Resolution Date:	09/27/1988
Sanctions Ordered:	Censure Monetary/Fine \$7,500.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	NASD COMPLAINT NO. ATL-973 FILED APRIL 22, 1988 BY DISTRICT NO.



7 AGAINST RESPONDENT CAMPBELL HUXLEY BROWN ALLEGING VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT BROWN ALTERED THE BOOKS AND RECORDS OF HIS EMPLOYER MEMBER IN SUCH A WAY AS TO CONCEAL FROM THE MEMBER THAT HE WAS TRADING OPTIONS AND INCURRING PERSONAL LOSSES IN THE FIRM'S ERROR ACCOUNT, CAUSING THE MEMBER TO OWE ITS CLEARING AGENT APPROXIMATELY \$100,000.00 FOR SUCH LOSSES.

DECISION RENDERED SEPTEMBER 27, 1988, WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY THE RESPONDENT WAS ACCEPTED; THEREFORE, HE IS CENSURED, FINED \$7,500.00 AND SUSPENDED FROM THE ASSOCIATION WITH ANY MEMBER OF THE ASSOCIATION IN A PRINCIPAL CAPACITY FOR SIX (6) MONTHS, HE IS REQUIRED TO REQUALIFY BY EXAMINATION BEFORE AGAIN ACTING AS A PRINCIPAL.

\$7,500 FINE PAID 10/6/88 - DEPOSIT #064

Reporting Source:	Individual
Regulatory Action Initiated By:	DBCC
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	CENSURE FINED\$7500.00
Date Initiated:	04/22/1988
Docket/Case Number:	ATL-973
Employing firm when activity occurred which led to the regulatory action:	BROWN ASSOCIATES, INC.
Product Type:	Other
Other Product Type(s):	NOT PROVIDED.
Allegations:	NASD DISTRICT BUSINESS CONDUCT COMMITTEE FOR DISTRICT NO. FILED A COMPLAINT AGAINST BROWN (#ATL-973), ALLEGING VIOLATION OF ARTICLE III, SECTION 1 OF THE ASSOCIATION'S RULES OF FAIR PRACTICE. IN HIS CAPACITY AS BROWN ASSOCIATES, INC.'S REGISTERED OPTIONS PRINCIPAL, BROWN, FOR THE MONTHS OF OCTOBER, NOVEMBER AND DECEMBER 1983, ALTERED THE BOOKS AND RECORDS OF THE FIRM IN SUCH A WAY AS TO CONCEAL FROM THE MEMBER THAT HE WAS TRADING OPTIONS AND INCURRING PERSONAL LOSSES IN THE FIRM'S ERROR ACCOUNT, CAUSING THE FIRM TO OWE ITS CLEARING AGENT APPROXIMATELY \$100,000 FOR SUCH LOSSES, A LIABILITY WHICH THE FIRM WAS OBLIGED TO SATISFY. BROWN RESPONDED TO THE ALLEGATION CONTAINED IN THE COMPLAINT VIA LETTER TO THE DBCC FOR DISTRICT NO. 7 DATED MAY 9, 1988. IN HIS LETTER HE STATED THAT HE WAS SURPRISED BY THE COMPLAINT AS THE MATTER IN QUESTION HAD BEEN DISCUSSED WITH ASSOCIATION COMPLIANCE EXAMINERS ON TWO OCCASIONS. HE CONTENDS THAT DURING THE PERIOD OF TIME IN QUESTION AN ILLNESS CAUSED CERTAIN IRRATIONAL ACTS ON HIS PART.



SUCH ACTS DID NOT IN ANY WAY AFFECT CUSTOMERS OF THE FIRM, AND THE LIABILITY TO THE CLEARING AGENT WAS PROMPTLY PAID UPON REQUEST. BROWN HAS LONG SINCE REIMBURSED THE FIRM FOR THE DEFICIT. IN ADDITION, HE ACCEPTED IMMEDIATE SUSPENSION FROM THE FIRM FOR A PERIOD OF NINE MONTHS, FROM FEBRUARY 8, 1984 TO NOVEMBER 1, 1984.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 09/27/1988

Sanctions Ordered: Censure
Monetary/Fine \$7,500.00
Suspension

Other Sanctions Ordered:

Sanction Details: DECISION AND ORDER OF ACCEPTANCE OF OFFER OF SETTLEMENT IN CONNECTION WITH NASD COMPLAINT NO. ATL-973, DATED 9/27/88. RESPONDENT BROWN WAS CENSURED, FINED \$7,500.00, SUSPENDED FROM THE ASSOCIATION FOR A PERIOD OF SIX MONTHS AS A PRINCIPAL, THE COMMENCEMENT OF WHICH PERIOD IS TO BE SET BY THE PRESIDENT OF THE ASSOCIATION, AND THEREAFTER IS REQUIRED TO REQUALIFY BY EXAMINATION BEFORE AGAIN ACTING AS A PRINCIPAL.

Broker Statement NOT PROVIDED.



End of Report

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