

BrokerCheck Report

ALLEN, MOONEY & BARNES BROKERAGE SERVICES, LLC

CRD# 142619

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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.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

• **Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.



ALLEN, MOONEY & BARNES BROKERAGE SERVICES, LLC

CRD# 142619

SEC# 8-67477

Main Office Location

135 S. MADISON STREET
THOMASVILLE, GA 31792
Regulated by FINRA Atlanta Office

Mailing Address

POST OFFICE BOX 1116
THOMASVILLE, GA 31799

Business Telephone Number

229-225-1500

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Georgia on 11/09/2000.

Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 26 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 14 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm has referral or financial arrangements with other brokers or dealers.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**



Firm Profile

This firm is classified as a limited liability company.
This firm was formed in Georgia on 11/09/2000.
Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

ALLEN, MOONEY & BARNES BROKERAGE SERVICES, LLC
Doing business as ALLEN, MOONEY & BARNES BROKERAGE SERVICES, LLC
CRD# 142619
SEC# 8-67477

Main Office Location
135 S. MADISON STREET
THOMASVILLE, GA 31792
Regulated by FINRA Atlanta Office

Mailing Address
POST OFFICE BOX 1116
THOMASVILLE, GA 31799

Business Telephone Number
229-225-1500

Other Names of this Firm

Name	Where is it used
ALLEN MOONEY BARNES BROKERAGE SERVICES	FL, GA



Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any):	FAIM INVESTMENTS LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	DIRECT OWNER
Position Start Date	11/2000
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	MANER, GORDON ALLEN 4916231
Is this a domestic or foreign entity or an individual?	Individual
Position	MANAGING MEMBER
Position Start Date	01/2016
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	ALLEN, MIRON HERBERT JR 1561147
Is this a domestic or foreign entity or an individual?	Individual
Position	MANAGING MEMBER
Position Start Date	11/2000

Firm Profile



Direct Owners and Executive Officers (continued)

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): NICKS, BRENT PATRICK
4067773

Is this a domestic or foreign entity or an individual? Individual

Position CHIEF COMPLIANCE OFFICER

Position Start Date 11/2023

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): STRICKLAND, HEATHER MICHELE

Is this a domestic or foreign entity or an individual? Individual

Position CHIEF FINANCIAL OFFICER

Position Start Date 07/2017

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No



Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

Legal Name & CRD# (if any):	VERNON QUEEN
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	FAIM INVESTMENTS LLC
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	01/2015
Percentage of Ownership	50% but less than 75%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	ALLEN, MIRON HERBERT JR 1561147
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	FAIM INVESTMENTS, LLC
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	01/2001
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	CLYDE LETARTE IRREVOCABLE TRUST
Is this a domestic or foreign	Domestic Entity

Firm Profile



Indirect Owners (continued)

entity or an individual?

Company through which indirect ownership is established FAIM INVESTMENTS LLC

Relationship to Direct Owner SHAREHOLDER

Relationship Established 10/2011

Percentage of Ownership Other General Partners

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): DAVIS, MARK ERIC
4275024

Is this a domestic or foreign entity or an individual? Individual

Company through which indirect ownership is established FAIM INVESTMENTS, LLC

Relationship to Direct Owner SHAREHOLDER

Relationship Established 12/2016

Percentage of Ownership Other General Partners

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): HUNTER, RODNEY WADE
4479540

Is this a domestic or foreign entity or an individual? Individual

Company through which indirect ownership is FAIM INVESTMENTS LLC

Firm Profile



Indirect Owners (continued)

established

Relationship to Direct Owner	SHAREHOLDER
Relationship Established	10/2014
Percentage of Ownership	Other General Partners
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any): KATHLEEN LETARTE REV LIVING TRUST

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established FAIM INVESTMENTS LLC

Relationship to Direct Owner	SHAREHOLDER
Relationship Established	10/2011
Percentage of Ownership	Other General Partners
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any): KIELY, JAMES PATRICK
6898239

Is this a domestic or foreign entity or an individual? Individual

Company through which indirect ownership is established CLYDE LETARTE IRREVOCABLE TRUST

Relationship to Direct Owner	TRUSTEE
Relationship Established	10/2011

Firm Profile



Indirect Owners (continued)

Percentage of Ownership Other General Partners

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): LETARTE, KATHLEEN
6898075

Is this a domestic or foreign entity or an individual? Individual

Company through which indirect ownership is established KATHLEEN LETARTE REV LIVING TRUST

Relationship to Direct Owner TRUSTEE

Relationship Established 10/2011

Percentage of Ownership Other General Partners

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): LOEHR, CHRISTOPHER RYAN
6302035

Is this a domestic or foreign entity or an individual? Individual

Company through which indirect ownership is established FAIM INVESTMENTS LLC

Relationship to Direct Owner SHAREHOLDER

Relationship Established 06/2016

Percentage of Ownership Other General Partners

Does this owner direct the management or policies of the firm? No

Firm Profile



Indirect Owners (continued) the firm?

Is this a public reporting company? No

Legal Name & CRD# (if any): MACQUIRTER, GORDON DANIEL
4561568

Is this a domestic or foreign entity or an individual? Individual

Company through which indirect ownership is established FAIM INVESTMENTS LLC

Relationship to Direct Owner SHAREHOLDER

Relationship Established 10/2011

Percentage of Ownership Other General Partners

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): PITTS, ROBBY LEE
2914843

Is this a domestic or foreign entity or an individual? Individual

Company through which indirect ownership is established FAIM INVESTMENTS LLC

Relationship to Direct Owner SHAREHOLDER

Relationship Established 10/2011

Percentage of Ownership Other General Partners

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Firm Profile



Indirect Owners (continued)

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.





Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is currently registered with the SEC, 1 SRO and 26 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	03/29/2007

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: Yes

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	03/29/2007

Firm Operations



Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	06/06/2007
Arizona	Approved	02/08/2017
Arkansas	Approved	08/14/2025
California	Approved	04/27/2007
Colorado	Approved	05/31/2007
Connecticut	Approved	06/27/2007
District of Columbia	Approved	05/11/2007
Florida	Approved	06/06/2007
Georgia	Approved	04/13/2006
Idaho	Approved	09/23/2022
Illinois	Approved	05/08/2007
Indiana	Approved	06/27/2007
Iowa	Approved	03/11/2022
Kentucky	Approved	05/06/2007
Louisiana	Approved	08/03/2015
Maryland	Approved	05/08/2007
Michigan	Approved	05/14/2007
Nevada	Approved	05/01/2007
New York	Approved	07/13/2009
North Carolina	Approved	05/01/2007
Pennsylvania	Approved	06/28/2007
South Carolina	Approved	05/14/2007
Tennessee	Approved	03/30/2017
Texas	Approved	05/18/2010
Virginia	Approved	04/26/2007
Washington	Approved	04/26/2007



Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 14 types of businesses.

Types of Business

Exchange member engaged in exchange commission business other than floor activities
Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Underwriter or selling group participant (corporate securities other than mutual funds)
Mutual fund retailer
U S. government securities broker
Municipal securities dealer
Municipal securities broker
Broker or dealer selling variable life insurance or annuities
Solicitor of time deposits in a financial institution
Put and call broker or dealer or option writer
Trading securities for own account
Private placements of securities
Broker or dealer involved in a networking, kiosk or similar arrangement with a: bank, savings bank or association, or credit union



Firm Operations

Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does refer or introduce customers to other brokers and dealers.

Name:	WELLS FARGO CLEARING SERVICES, LLC
CRD #:	19616
Business Address:	1 N JEFFERSON ST ST LOUIS, MO 63103
Effective Date:	11/11/2016
Description:	ALLEN, MOONEY & BARNES BROKERAGE SERVICES, LLC (THE "FIRM") HAS ENTERED INTO A FULLY DISCLOSED CLEARING ARRANGEMENT WITH WELLS FARGO CLEARING SERVICES (WFCS). AND THAT PURSUANT TO THAT AGREEMENT, WFCS WILL HOLD ALL FUNDS AND SECURITIES OF THE FIRM'S CUSTOMERS, EXECUTE TRANSACTIONS ON BEHALF OF THE FIRM AND ITS CUSTOMERS, AND MAINTAIN ALL PERTINENT RECORDS RELATING TO THE TRANSACTIONS AND ACCOUNTS OF THE FIRM AND ITS CUSTOMERS.

Firm Operations

Industry Arrangements



This firm does not have books or records maintained by a third party.

This firm does have accounts, funds, or securities maintained by a third party.

Name: WELLS FARGO CLEARING SERVICES, LLC

CRD #: 19616

Business Address: 1 N JEFFERSON ST
ST LOUIS, MO 63103

Effective Date: 11/11/2016

Description: ALLEN, MOONEY & BARNES BROKERAGE SERVICES, LLC (THE "FIRM") HAS ENTERED INTO A FULLY DISCLOSED CLEARING ARRANGEMENT WITH WELLS FARGO CLEARING SERVICES (WFCS). AND THAT PURSUANT TO THAT AGREEMENT, WFCS WILL HOLD ALL FUNDS AND SECURITIES OF THE FIRM'S CUSTOMERS, EXECUTE TRANSACTIONS ON BEHALF OF THE FIRM AND ITS CUSTOMERS, AND MAINTAIN ALL PERTINENT RECORDS RELATING TO THE TRANSACTIONS AND ACCOUNTS OF THE FIRM AND ITS CUSTOMERS.

This firm does have customer accounts, funds, or securities maintained by a third party.

Name: WELLS FARGO CLEARING SERVICES, LLC

CRD #: 19616

Business Address: 1 N JEFFERSON ST
ST LOUIS, MO 63103

Effective Date: 11/11/2016

Description: ALLEN, MOONEY & BARNES BROKERAGE SERVICES, LLC (THE "FIRM") HAS ENTERED INTO A FULLY DISCLOSED CLEARING ARRANGEMENT WITH WELLS FARGO CLEARING SERVICES (WFCS). AND THAT PURSUANT TO THAT AGREEMENT, WFCS WILL HOLD ALL FUNDS AND SECURITIES OF THE FIRM'S CUSTOMERS, EXECUTE TRANSACTIONS ON BEHALF OF THE FIRM AND ITS CUSTOMERS, AND MAINTAIN ALL PERTINENT RECORDS RELATING TO THE TRANSACTIONS AND ACCOUNTS OF THE FIRM AND ITS CUSTOMERS.

Control Persons/Financing

This firm does have individuals who control its management or policies through agreement.

Name: WELLS FARGO CLEARING SERVICES, LLC

CRD #: 19616

Firm Operations



Industry Arrangements (continued)

Business Address: 1 N JEFFERSON ST
ST LOUIS, MO 63103

Effective Date: 11/11/2016

Description: ALLEN, MOONEY & BARNES BROKERAGE SERVICES, LLC (THE "FIRM") HAS ENTERED INTO A FULLY DISCLOSED CLEARING ARRANGEMENT WITH WELLS FARGO CLEARING SERVICES (WFCS). AND THAT PURSUANT TO THAT AGREEMENT, WFCS WILL HOLD ALL FUNDS AND SECURITIES OF THE FIRM'S CUSTOMERS, EXECUTE TRANSACTIONS ON BEHALF OF THE FIRM AND ITS CUSTOMERS, AND MAINTAIN ALL PERTINENT RECORDS RELATING TO THE TRANSACTIONS AND ACCOUNTS OF THE FIRM AND ITS CUSTOMERS.

This firm does not have individuals who wholly or partly finance the firm's business.



Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- in control of
 - controlled by
 - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.**

ACCELERATE RETIREMENT is under common control with the firm.

CRD #:	325859
Business Address:	120 VANTIS DRIVE SUITE 330 ALISO VIEJO, CA 92656
Effective Date:	04/28/2023
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	BRENT NICKS SERVES AS AN OUTSOURCED CCO FOR THIS ENTITY THROUGH HIS ROLE AS A DIRECTOR WITH OYSTER CONSULTING LLC. ENTITY IS NOT AFFILIATED WITH THE APPLICANT. IT IS ONLY A FIRM FOR WHICH THE OUTSOURCED CCO PROVIDES CCO SERVICES.

4170 SECURITIES LLC is under common control with the firm.

CRD #:	326718
Business Address:	372 WEST ONTARIO STREET SUITE 400 CHICAGO, IL 60654
Effective Date:	02/23/2024
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No

Firm Operations



Organization Affiliates (continued)

Description: BRENT NICKS SERVES AS AN OUTSOURCED CCO FOR THIS ENTITY THROUGH HIS ROLE AS A DIRECTOR WITH OYSTER CONSULTING LLC. ENTITY IS NOT AFFILIATED WITH AMBBS. IT IS ONLY A FIRM FOR WHICH THE OUTSOURCED CCO PROVIDES CCO SERVICES.

FRONTLINE HEALTHCARE PARTNERS is under common control with the firm.

CRD #: 311770

Business Address: 171 CHURCH STREET
CHARLESTON, SC 29401

Effective Date: 10/01/2020

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: FAIM INVESTMENTS LLC IS THE PARENT COMPANY OF FRONTLINE HEALTHCARE PARTNERS AND ALLEN, MOONEY & BARNES BROKERAGE SERVICES, LLC. ALLEN, MOONEY, & BARNES BROKERAGE SERVICES, LLC, IS NOT CONTROLLED BY FRONTLINE HEALTHCARE PARTNERS, NOR DOES ALLEN, MOONEY & BARNES BROKERAGE SERVICES, LLC CONTROL FRONTLINE HEALTHCARE PARTNERS.

ALLEN, MOONEY & BARNES INVESTMENT ADVISORS, LLC is under common control with the firm.

CRD #: 113106

Business Address: 135 S. MADISON STREET
THOMASVILLE, GA 31792

Effective Date: 11/09/2000

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: FAIM INVESTMENTS,LLC IS PARENT COMPANY

Firm Operations



Organization Affiliates (continued)

This firm is not directly or indirectly, controlled by the following:

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank

End of Report



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