

## BrokerCheck Report

**KENNETH BRUCE LANG**

CRD# 301873

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 5
Registration and Employment History	7 - 8
Disclosure Events	9



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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).

**KENNETH B. LANG**

CRD# 301873

**Currently employed by and registered with the following Firm(s):****IA &PARTNERS**1899 W Littleton Blvd.  
Littleton, CO 80120  
CRD# 3767

Registered with this firm since: 01/29/2025

**B &PARTNERS**1899 W Littleton Blvd.  
Littleton, CO 80120  
CRD# 3767

Registered with this firm since: 01/29/2025

**Report Summary for this Broker**

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

**Broker Qualifications****This broker is registered with:**

- 1 Self-Regulatory Organization
- 1 U.S. state or territory

**This broker has passed:**

- 7 Principal/Supervisory Exams
- 7 General Industry/Product Exams
- 2 State Securities Law Exams

**Registration History****This broker was previously registered with the following securities firm(s):****IA WELLS FARGO ADVISORS**CRD# 11025  
ST. LOUIS, MO  
09/2013 - 02/2025**B WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC**CRD# 11025  
LITTLETON, CO  
09/2013 - 02/2025**IA WELLS FARGO ADVISORS, LLC**CRD# 19616  
ST. LOUIS, MO  
09/1990 - 09/2013**Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes****The following types of disclosures have been reported:**

Type	Count
Customer Dispute	1



## Broker Qualifications

### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

**This individual is currently registered with 1 SRO and is licensed in 1 U.S. state or territory through his or her employer.**

### Employment 1 of 1

Firm Name: **&PARTNERS**

Main Office Address: **40 BURTON HILLS BLVD.  
SUITE 350  
NASHVILLE, TN 37215**

Firm CRD#: **3767**

	SRO	Category	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

	U.S. State/ Territory	Category	Status	Date
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





## Broker Qualifications

### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

**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
<b>B</b> General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
<b>B</b> Municipal Securities Principal Examination	Series 53	01/02/2023
<b>B</b> General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
<b>B</b> General Securities Principal Examination	Series 24	01/02/2023
<b>B</b> Registered Options Principal Examination	Series 4	09/13/1977
<b>B</b> Registered Principal Examination	Series 40	09/09/1977
<b>B</b> NYSE Branch Manager Examination	Series 12	05/22/1973

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Municipal Securities Representative Examination	Series 52TO	02/12/2025
<b>B</b> General Securities Representative Examination	Series 7TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Futures Managed Funds Examination	Series 31	10/11/2005
<b>B</b> Interest Rate Options Examination	Series 5	11/14/1981
<b>B</b> General Securities Principal Examination	Series 000	12/10/1969
<b>B</b> Registered Representative Examination	Series 1	12/10/1969



Broker Qualifications

Industry Exams this Broker has Passed, continued  
State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	01/17/1994
B Uniform Securities Agent State Law Examination	Series 63	03/01/1983

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).

## Broker Qualifications



## Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.





## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>IA</b> 09/2013 - 02/2025	WELLS FARGO ADVISORS	11025	LITTLETON, CO
<b>B</b> 09/2013 - 02/2025	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	11025	LITTLETON, CO
<b>B</b> 09/1990 - 09/2013	WELLS FARGO ADVISORS, LLC	19616	DENVER, CO
<b>IA</b> 09/1990 - 09/2013	WELLS FARGO ADVISORS, LLC	19616	DENVER, CO
<b>B</b> 01/1988 - 09/1990	BOETTCHER & COMPANY, INC.	101	
<b>B</b> 04/1984 - 01/1988	HANIFEN, IMHOFF INC.	2126	
<b>B</b> 12/1969 - 04/1984	BOETTCHER & COMPANY, INC.	101	
<b>B</b> 12/1969 - 07/1979	PAINE, WEBBER, JACKSON & CURTIS INCORPORATED	640	

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment	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 broker regarding other business activities the broker 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

Registration and Employment History



Other Business Activities, continued

MONTH 0; NUMBER OF HOURS DURING TRADING 0; OFFICE FOR FINET PRACTICE.

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## Disclosure Events



### What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
  - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
  -
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
  - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
    - A "pending" event involves allegations that have not been proven or formally adjudicated.
    - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" event has been concluded and its resolution is not subject to change.
  - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	1	N/A



## Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

### Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

#### 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:** Broker

**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

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**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 CONTRIBUTED SOLELY TO AVOID INCURRING LEGAL FEES.

## End of Report



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