

## BrokerCheck Report

**BRIAN EDWARD HEYING**

CRD# 3077855

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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](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).

**BRIAN E. HEYING**

CRD# 3077855

**Currently employed by and registered with the following Firm(s):****IA LSB WEALTH MANAGEMENT**

1922 Ingersoll Ave  
Des Moines, IA 50309  
CRD# 310466  
Registered with this firm since: 12/06/2021

**B LPL FINANCIAL LLC**

13523 UNIVERSITY AVE  
CLIVE, IA 50325  
CRD# 6413  
Registered with this firm since: 12/17/2014

**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
- 11 U.S. states and territories

**This broker has passed:**

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

**Registration History****This broker was previously registered with the following securities firm(s):****IA LPL FINANCIAL LLC**

CRD# 6413  
FORT MILL, SC  
12/2014 - 09/2022

**IA PARK AVENUE SECURITIES LLC**

CRD# 46173  
NEW YORK, NY  
11/2004 - 12/2014

**B PARK AVENUE SECURITIES LLC**

CRD# 46173  
CLIVE, IA  
05/1999 - 12/2014

**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? **No**



## 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 11 U.S. states and territories through his or her employer.**

### Employment 1 of 2

Firm Name: **LPL FINANCIAL LLC**

Main Office Address: **1055 LPL WAY  
FORT MILL, SC 29715**

Firm CRD#: **6413**

|   | SRO   | Category                          | Status   | Date       |
|---|-------|-----------------------------------|----------|------------|
| B | FINRA | General Securities Representative | Approved | 12/17/2014 |
| B | FINRA | Invest. Co and Variable Contracts | Approved | 12/17/2014 |

|   | U.S. State/ Territory | Category | Status   | Date       |
|---|-----------------------|----------|----------|------------|
| B | Arizona               | Agent    | Approved | 02/03/2015 |
| B | California            | Agent    | Approved | 03/24/2015 |
| B | Colorado              | Agent    | Approved | 12/09/2019 |
| B | Florida               | Agent    | Approved | 01/11/2017 |
| B | Illinois              | Agent    | Approved | 02/03/2016 |
| B | Iowa                  | Agent    | Approved | 12/17/2014 |
| B | Minnesota             | Agent    | Approved | 01/07/2015 |
| B | Missouri              | Agent    | Approved | 01/07/2015 |
| B | Nevada                | Agent    | Approved | 03/17/2022 |
| B | Texas                 | Agent    | Approved | 06/30/2020 |
| B | Wisconsin             | Agent    | Approved | 01/07/2015 |



Broker Qualifications

Employment 1 of 2, continued

Branch Office Locations

LPL FINANCIAL LLC  
13523 UNIVERSITY AVE  
CLIVE, IA 50325

LPL FINANCIAL LLC  
1922 INGERSOLL AVE  
DES MOINES, IA 50309

Employment 2 of 2

Firm Name: LSB WEALTH MANAGEMENT  
Main Office Address: 1375 SW STATE STREET  
ANKENY, IA 50023  
Firm CRD#: 310466

| U.S. State/ Territory |      | Category                          | Status   | Date       |
|-----------------------|------|-----------------------------------|----------|------------|
| IA                    | Iowa | Investment Adviser Representative | Approved | 12/06/2021 |

Branch Office Locations

1375 SW STATE STREET  
ANKENY, IA 50023

1922 Ingersoll Ave  
Des Moines, IA 50309



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

### Principal/Supervisory Exams

| Exam                     | Category | Date |
|--------------------------|----------|------|
| No information reported. |          |      |

### General Industry/Product Exams

| Exam   | Category | Date       |
|--|----------|------------|
| <b>B</b> Securities Industry Essentials Examination                                | SIE      | 10/01/2018 |
| <b>B</b> General Securities Representative Examination                             | Series 7 | 04/24/2000 |
| <b>B</b> Investment Company Products/Variable Contracts Representative Examination | Series 6 | 07/16/1998 |

### State Securities Law Exams

| Exam  | Category  | Date       |
|---|-----------|------------|
| <b>IA</b> Uniform Investment Adviser Law Examination    | Series 65 | 11/02/2004 |
| <b>B</b> Uniform Securities Agent State Law Examination | Series 63 | 09/08/1998 |

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 **1** professional designation(s).

#### Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



## 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> 12/2014 - 09/2022 | LPL FINANCIAL LLC                      | 6413  | CLIVE, IA       |
| <b>IA</b> 11/2004 - 12/2014 | PARK AVENUE SECURITIES LLC             | 46173 | CLIVE, IA       |
| <b>B</b> 05/1999 - 12/2014  | PARK AVENUE SECURITIES LLC             | 46173 | CLIVE, IA       |
| <b>B</b> 07/1998 - 05/1999  | GUARDIAN INVESTOR SERVICES CORPORATION | 6635  | NEW YORK, NY    |

### 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             |
|-------------------|------------------------------|-----------------------------------|--------------------|-------------------------------|
| 12/2021 - Present | LSB Capital Management, Inc. | Investment Adviser Representative | Y                  | DES MOINES, IA, United States |
| 12/2014 - Present | LPL Financial, LLC           | Registered Representative         | Y                  | DES MOINES, IA, United States |
| 12/2014 - Present | Lincoln Savings Bank         | Registered Representative         | Y                  | DES MOINES, IA, 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.

- 10/27/2017 - Lincoln Savings Bank - DBA: LSB Wealth Management - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date 10/27/2017 - 160 Hours Per Month/75 Hours During Securities Trading.
- 3/20/2018 - LSB Financial - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business).
- 11/19/2021 - BONJVI21, LLC - Investment Related - Bondurant, IA - Real Estate Rental - Started 07/15/2021 - 2 Hours Per Month/0 Hours





## Registration and Employment History

### Other Business Activities, continued

During Securities Trading - Purchase of farmland to be sold as lots for future home sites.

4. 12/7/2021 - LSB Capital Management, Inc. - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - Started 12/01/2021 - 15 Hours Per Month During Securities Trading - Time Spent 100% - I provide investment advisory services through LSB Capital Management, Inc., an independent investment advisor firm. I started this business activity in 12/2021. I expect to spend approximately 15 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.advisorinfo.sec.gov/IAPD>. This firm is separate from and independent of LPL Financial.

5. 12/8/2021 - LSB Capital Management, Inc. - DBA: LSB Wealth Management - Investment Related - At Reported Business Location(s) - Registered Investment Advisor DBA - Started 12/01/2021 - 20 Hours Per Month During Securities Trading - Time Spent 13% - I provide investment advisory services through LSB Capital Management, Inc., an independent investment advisor firm. I started this business activity in 12/2021. I expect to spend approximately 20 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.advisorinfo.sec.gov/IAPD>. This firm is separate from and independent of LPL Financial.

6. 12/7/2022 - LSB Financial - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Start Date - 12/01/2014 - 120 Hours Per Month/90 Hours During Securities Trading

7. 12/12/2022 - FFR Insurance - Investment Related - Non-Variable Insurance - Member/Owner Agent - 1 Hour Per Month - Fixed Insurance.

8. 10/16/2023 - All4114All - Investment Related - At Reported Business Location(s) - Real Estate Rental - Start Date 11/01/2023 - 8 Hours Per Month 0 Hours During Trading

9. 11/15/2023 - Can Due - Other - Recycling - Treasurer - Not Investment Related - Urbandale, IA - Start Date 11/01/2023 - 4 Hours Per Month/ 0 Hours During Trading

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## End of Report



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