

BrokerCheck Report

AMY LONG

CRD# 4012838

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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.

**AMY LONG**

CRD# 4012838

Currently employed by and registered with the following Firm(s):

IA WELLS FARGO ADVISORS
 100 S ASHLEY DR 9TH FL
 [F6-RBO]
 TAMPA, FL 33602
 CRD# 19616
 Registered with this firm since: 04/22/2021

B WELLS FARGO CLEARING SERVICES, LLC
 100 S ASHLEY DR 9TH FL
 [F6-RBO]
 TAMPA, FL 33602
 CRD# 19616
 Registered with this firm since: 04/21/2021

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:

- 11 Self-Regulatory Organizations
- 53 U.S. states and territories

This broker has passed:

- 2 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):

- B RAYMOND JAMES & ASSOCIATES, INC.**
 CRD# 705
 ST. PETERSBURG, FL
 02/2019 - 04/2021
- IA RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**
 CRD# 149018
 SAINT PETERSBURG, FL
 03/2018 - 04/2021
- B RAYMOND JAMES FINANCIAL SERVICES, INC.**
 CRD# 6694
 ST PETERSBURG, FL
 03/2017 - 04/2021

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
Regulatory Event	3

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 11 SROs and is licensed in 53 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **WELLS FARGO CLEARING SERVICES, LLC**

Main Office Address: **ONE NORTH JEFFERSON AVENUE
MAIL CODE: H0004-05E
ST. LOUIS, MO 63103**

Firm CRD#: **19616**

	SRO	Category	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
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	04/21/2021
B	Nasdaq ISE, LLC	General Securities Principal	Approved	04/21/2021

Broker Qualifications



Employment 1 of 1, continued

	SRO	Category	Status	Date
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

	U.S. State/ Territory	Category	Status	Date
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
IA	Florida	Investment Adviser Representative	Approved	04/22/2021
B	Georgia	Agent	Approved	05/21/2021
B	Hawaii	Agent	Approved	08/11/2021

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
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
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

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
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
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

Broker Qualifications



Employment 1 of 1, continued

Branch Office Locations

WELLS FARGO CLEARING SERVICES, LLC

100 S ASHLEY DR 9TH FL

[F6-RBO]

TAMPA, FL 33602



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

Principal/Supervisory Exams

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

General Industry/Product Exams

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

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	03/04/2015
B Uniform Securities Agent State Law Examination	Series 63	07/16/2014

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/.

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

Employment History



Registration and Employment History

Employment History, continued

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
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 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.

No information reported.

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.
 -
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
Regulatory Event	0	3	0



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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 3

Reporting Source:	Broker
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: Broker

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:	Broker
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



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