

Caleb Long

XML Financial Group

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This document provides information about Caleb Long that supplements the XML Financial Group (XML) ADV 2A Brochure and Wrap Fee Program Brochure (Brochures). If you were not provided with a Brochure or if you have any questions about the contents of this supplement please contact Compliance at 703.827.2300. The Brochures and additional information about XML and Caleb Long are available at www.finra.org/brokercheck and/or on the SEC's website at www.adviserinfo.sec.gov.

ITEM 2 EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Caleb graduated from Liberty University's School of Business with a Bachelor of Science in Business Administration: Finance and a minor in Accounting. Caleb joined XML Financial Group in 2022. Previously he was a registered representative with Goldman Sachs.

ITEM 3 DISCIPLINARY INFORMATION

None

ITEM 4 OTHER BUSINESS ACTIVITIES

BROKER AGENT: Caleb is also a registered representative with XML Securities, LLC ("XML BD"). This enables him to effect securities transactions for a commission in his capacity as a broker agent. He is able to offer brokerage services to both clients and non-clients of XML through XML BD. When acting in the capacity as a broker agent, he will receive compensation based on the sale of securities and brokerage products including, but not limited to, mutual fund share classes that pay sale charges and distribution or service ("trail") fees, transaction commissions, markup and markdowns on principal trades in bonds and other compensation as detailed in the Reg BI Disclosure document. This creates a conflict of interest as there is an inherent incentive to recommend brokerage products and effect transactions based on the broker agent's compensation. Please discuss any questions regarding brokerage compensation and the related conflicts of interest with this professional. Visit <https://www.xmlfg.com/brokerage-services/> to view the Reg BI Disclosure and additional disclosures and policies.

ITEM 5 ADDITIONAL COMPENSATION

None

ITEM 6 SUPERVISION

XML's investment advisory supervisory system includes, but is not limited to, principal approval of new account applications and program agreements, email sample review, outside account review and trade monitoring. This individual's designated supervisor is Brett Bernstein, CFP®, CEO at 301.770.5234.