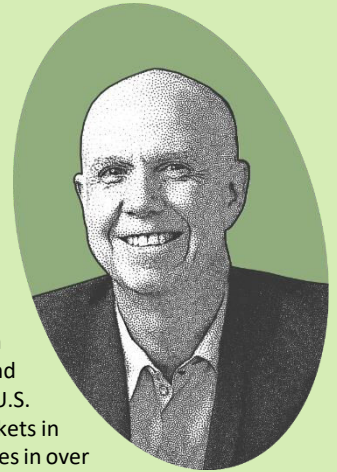




:: TRADING, PORTF. MANAGEMEN  
:: EQUITIES

# Kerry R. Langston



## Industry experience

**CELADON FINANCIAL GROUP** 2019–Present  
Institutional Trading

**BTIG, LLC** 2008-2018  
Microcap, Distressed and Special Situation Trading

**HILL THOMPSON** 2003-2007  
Equity Sales and Trading, Correspondent Liaison

**GOLDMAN SACHS  
SPEAR, LEEDS & KELLOGG** 1987-2003  
Co- Manager, OTC Equity Trading, Principal

## Education

**College of William and Mary** 1983  
MBA Finance

**Virginia Tech** 1980  
BS Marketing Management

Mr. Langston is a recognized financial industry professional with a deep expertise in the trading and execution of OTC /small cap securities. Both a trader and a registered principal, he provides expertise on best execution, due diligence, and compliance responsibilities. His areas of emphasis include electronic trading, bankruptcy, special situations, Reg FD, reporting requirements, as well as advisory to institutions, family offices & high net-worth individuals.

Mr. Langston is currently a Managing Director at Celadon Financial Group, which has provided trade execution and prime brokerage services to institutional investors in the U.S. and abroad since 1996. The firm is approved to make markets in up to 2,000 securities and currently posts continuous quotes in over 600 OTC stocks. Celadon offers all the expected prime brokerage services including advanced electronic trade execution, portfolio margin and capital introduction.

Mr. Langston introduced OTC, distressed & SPAC trading at BTIG LLC. Collaborating across functional areas including compliance and risk, he partnered with C-suite executives to execute business strategy. He integrated customer priorities into a complex systematic trading environment, navigating complex situations and leveraging his knowledge of the regulatory landscape.

## Areas of expertise

### Trading, execution:

- + OTC Securities, pink sheet, small caps, SPACs
- + Distressed securities, bankruptcy, special situations
- + Market-making, direct market access (DMA), algorithmic trading, liquidity provision.
- + Risk management, profit and loss responsibility, and block trading.

### Client & investor relations:

- + Reg. FD, form 15(c)(211), best execution, due diligence
- + Capital markets, financial regulations, regulatory landscape.
- + Disclosures, filing requirements, quiet period, company buy backs, safe harbor.
- + Financial reporting requirements, forward looking statements
- + Reg T, Portfolio margin, Delivery vs. Payment (DVP) accounts, custody.

### Due diligence, compliance:

- + Family offices, high net-worth individuals
- + Institutional trading, hedge funds, asset management
- + Advisory, capital introduction, capital raising.

### Keywords:

Electronic trade execution, OTC trading, distressed securities, compliance, risk management, systematic trading environment, private placements, Reg D, regulatory landscape, anti-money laundering (AML), Know-Your-Customer (KYC), best execution, market structure, order management systems, due diligence, short sales, institutional trading, hedge funds, asset management, capital markets, financial regulations, financial reporting requirements, Reg FD, portfolio management, market-making, FINRA Series 24 Principal, stocks, trader, trading, Reg 144A, Reg S, Direct Market Access (DMA), algorithmic trading, block trading, reporting requirements, quiet period, company buybacks, safe harbor, reg T, Rule 15c3, Customer Protection.

[ NOT RETAINED ]