



IAPD Report

Robert Kennedy Thompson

CRD# 1975407

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6



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.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

Robert Kennedy Thompson (CRD# 1975407)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **11/08/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	HARVEST INVESTMENT SERVICES, LLC	CRD# 159390	11/27/2023

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	HARVEST INVESTMENT SERVICES, LLC	159390	OAKBROOK TERRACE, IL	11/02/2023 - 11/03/2023
IA	CONCOURSE FINANCIAL GROUP ADVISORS	15708	Palos Hills, IL	03/31/2000 - 10/09/2023
B	CONCOURSE FINANCIAL GROUP SECURITIES, INC.	15708	Palos Hills, IL	09/01/1999 - 10/09/2023

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative?

Yes

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Termination	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.

This individual is currently registered with **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **HARVEST INVESTMENT SERVICES, LLC**

Main Address: 1 TRANSAM PLAZA DRIVE
SUITE 230
OAKBROOK TERRACE, IL 60181-4285

Firm ID#: 159390

	Regulator	Registration	Status	Date
	Illinois	Investment Adviser Representative	Approved	01/11/2024

Branch Office Locations

HARVEST INVESTMENT SERVICES, LLC

9944 S. Roberts Road
Suite 108
Palos Hills, IL 60465



Qualifications



PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
------	----------	------

No information reported.

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	09/16/1989

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	10/03/1990



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	11/02/2023 - 11/03/2023	HARVEST INVESTMENT SERVICES, LLC	CRD# 159390	OAKBROOK TERRACE,
IA	03/31/2000 - 10/09/2023	CONCOURSE FINANCIAL GROUP ADVISORS	CRD# 15708	Palos Hills, IL
B	09/01/1999 - 10/09/2023	CONCOURSE FINANCIAL GROUP SECURITIES, INC.	CRD# 15708	Palos Hills, IL
IA	01/15/2015 - 07/30/2018	HARVEST INVESTMENT SERVICES, LLC	CRD# 159390	OAKBROOK TERRACE,
B	05/20/1998 - 09/17/1999	THE CONCORD EQUITY GROUP, LLC	CRD# 14569	ISELIN, NJ
B	03/31/1998 - 08/12/1998	EMISSARY FINANCIAL GROUP, INC.	CRD# 44568	MENTOR, OH
B	09/19/1989 - 03/17/1998	MONEY CONCEPTS CAPITAL CORP	CRD# 12963	PALM BEACH GARDEN:

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2023 - Present	Harvest Investment Services, LLC	Investment Adviser	Y	Oakbrook Terrace, IL, United States
02/2023 - Present	Midland States Bank	Retirement Plan Services Officer/Consultant	N	Chicago, IL, United States
10/1984 - Present	(dba) Progressive Financial Planning Services	President	Y	Palos Hills, IL, United States
09/1999 - 10/2023	Concourse Financial Group Securities Inc	Financial Professional	Y	Palos Hills, IL, United States
10/2007 - 11/2020	Fifth Third Bank	SVP - Institutional Trust	Y	Chicago, IL, United States
01/2015 - 07/2018	Harvest Investment Services LLC	Investment Adviser	Y	Oakbrook Terrace, IL, United States



Registration & Employment History



OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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.

- (1) (dba) PROGRESSIVE FINANCIAL PLANNING SERVICES INC; Investment Related; 9944 S. Roberts Road, Suite 108, Palos Hills, IL 60465; Independent Financial Planning Practice; President; Start Date 07/1984; 40 hours per month; Provide insurance and all advisory and planning services through Concourse Financial Group Securities.
- (2) OAK LAWN PUBLIC LIBRARY FOUNDATION; Non-Investment Related; 9427 S Raymond Avenue, Oak Lawn, IL 60453; Foundation; Board President-Chair; Start Date 10/2008; 4 hours per month; Conduct meetings of the board of trustees on a quarterly basis; I serve on the Investment Sub-Committee.
- (3) VIRTU BROADBAND LLC; Non-Investment Related; 111 Ocean Blvd #400, Long Beach, CA 90802; Board Member; Advisory Board Member; Start Date 02/2022; 3-5 hours per month with hours per month occurring during trading hours varying; I serve as a consultant to the Virtu Broadband management team providing guidance and support in growth and advancement of the company.
- (4) MIDLAND STATES BANK, 225 W. Washington St. Ste 1650, Chicago, IL 60606; Banking/Trust; Retirement Plan Officer/Consultant; I sell proprietary retirement plans for the bank; 30-40 hours per week.
- (5) LIVING FAITH COMMUNITY CHURCH; not for profit, religious organization; Moderator of Church Council of Leaders; I run monthly Council of Leaders meetings, conduct business of Church; 10 hours per month.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought:

Date Initiated: 09/16/2024

Docket/Case Number: [2023080041701](#)

Employing firm when activity occurred which led to the regulatory action: Concourse Financial Group Securities, Inc.

Product Type: No Product

Allegations: Without admitting or denying the findings, Thompson consented to the sanctions and to the entry of findings that he engaged in an outside business activity without providing prior written notice to his member firm. The findings stated that Thompson requested that his firm pre-approve his employment as a business development officer of an outside bank, but the firm denied his request. Thereafter, while Thompson was still associated with his firm, he served as a business development officer of the bank. In that capacity, Thompson sold financial products and received compensation of approximately \$85,000.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)



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:

09/16/2024

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	Two months
Start Date:	09/16/2024
End Date:	11/15/2024

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	Deferred
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	CONCOURSE FINANCIAL GROUP SECURITIES, INC.
Termination Type:	Discharged
Termination Date:	10/06/2023
Allegations:	Registered representative discharged for engaging in an unauthorized and unapproved outside business activity.
Product Type:	No Product



End of Report

This page is intentionally left blank.