



IAPD Report

RANDOLPH THOMAS REDMOND

CRD# 2006473

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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

RANDOLPH THOMAS REDMOND (CRD# 2006473)

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 **12/19/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	RHL GROUP, LLC	CRD# 330716	08/21/2024

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	134139	HOLLY, MI	05/02/2014 - 08/30/2024
IA	CAPITAL ASSET ADVISORY SERVICES, LLC	110929	WILLIAMSTON, MI	11/19/2013 - 05/06/2014
IA	CONCORDE ASSET MANAGEMENT, LLC	140367	HOLLY, MI	11/02/2012 - 05/23/2013

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
Customer Dispute	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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **RHL GROUP, LLC**
Main Address: 115 BATTLE ALLEY
HOLLY, MI 48442
Firm ID#: 330716

	Regulator	Registration	Status	Date
	Michigan	Investment Adviser Representative	Approved	08/23/2024
	Texas	Investment Adviser Representative	Restricted Approval	08/21/2024

Branch Office Locations

RHL GROUP, LLC
115 BATTLE ALLEY
HOLLY, MI 48442



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
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No information reported.


General Industry/Product Exams

Exam	Category	Date
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 Direct Participation Programs Representative Examination (S22)	Series 22	03/15/2004
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/22/1989

State Securities Law Exams

Exam	Category	Date
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 Uniform Securities Agent State Law Examination (S63)	Series 63	12/22/1989
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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 & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	05/02/2014 - 08/30/2024	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	HOLLY, MI
IA	11/19/2013 - 05/06/2014	CAPITAL ASSET ADVISORY SERVICES, LLC	CRD# 110929	WILLIAMSTON, MI
IA	11/02/2012 - 05/23/2013	CONCORDE ASSET MANAGEMENT, LLC	CRD# 140367	HOLLY, MI
B	09/13/2012 - 05/23/2013	CONCORDE INVESTMENT SERVICES, LLC	CRD# 151604	HOLLY, MI
IA	04/16/2010 - 09/10/2010	MML INVESTORS SERVICES, INC.	CRD# 10409	HOLLY, MI
B	03/01/1996 - 09/10/2010	MML INVESTORS SERVICES, INC.	CRD# 10409	HOLLY, MI
B	01/01/1990 - 03/01/1996	G. R. PHELPS & CO., INC.	CRD# 173	

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
08/2024 - Present	RHL Group, LLC	CCO/Investment Advisor Representative	Y	HOLLY, MI, United States
11/2009 - Present	RHL Group, LLC	Managing Member/Insurance Agent	Y	HOLLY, MI, United States
05/2014 - 08/2024	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC	INVESTMENT ADVISER REPRESENTATIVE	Y	FAIRFIELD, IA, United States

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) ORGANIZED LEGACY PROGRAM, LLC. 115 BATTLE ALLEY, HOLLY, MI. 1/2005 AS OWNER. ORGANIZATION OF



Registration & Employment History



OTHER BUSINESS ACTIVITIES

CLIENTS POST DEATH WISHES IN AN ORGANIZED BOOK. THE CLIENT PROVIDES INFORMATION TO RHL WHICH IN TURN ORGANIZES THE INFORMATION IN A BOOK THAT PROVIDES A NET WORTH SUMMARY, INSURANCE SUMMARY, SPECIAL WISHES AND WHO TO CONTACT WHEN THEY DIE. SPENDS 1 HR/MO, NONE DURING TRADING.

2) RANDOLPH T. REDMOND, INDEPENDENT INSURANCE AGENT, 115 BATTLE ALLEY, HOLLY, MI, 1/01/1989 FOR VARIOUS INDEPENDENT INSURANCE COMPANIES. INV REL - 4/MO- 4/TRADING HR.

3) RHL PROPERTIES, LLC, 115 BATTLE ALLEY, HOLLY, MI; 1/1/2006 AS OWNER. NOT INVESTMENT RELATED. DEVOTES .25 HOURS/WEEK, NONE DURING TRADING.

4) THE HERALD, LLC, 115 BATTLE ALLEY, HOLLY, MICHIGAN, 48442, 05/02/2022, MEMBER, NOT INVESTMENT RELATED, AIR BNB, 10/MO, 0/MO TRADING



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
Customer Dispute	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:	Other: N/A
Date Initiated:	01/27/2012
Docket/Case Number:	2009020839601
Employing firm when activity occurred which led to the regulatory action:	MML INVESTORS SERVICES, INC.
Product Type:	Insurance Other: ESTATE PLANNING SERVICES
Allegations:	NASD RULES 2110, 3030 - RANDOLPH REDMOND ENGAGED IN OUTSIDE BUSINESS ACTIVITIES, IN THAT HE PROVIDED INSURANCE AND ESTATE PLANNING SERVICES TO INDIVIDUALS FOR WHICH HE RECEIVED FEES TOTALING APPROXIMATELY \$79,000. REDMOND FAILED TO GIVE PROMPT WRITTEN NOTICE TO HIS MEMBER FIRM THAT HE WAS ENGAGING IN THESE OUTSIDE BUSINESS ACTIVITIES.
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:

01/27/2012

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: ANY CAPACITY
Duration: ONE MONTH
Start Date: 02/06/2012
End Date: 03/05/2012

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:
Is Payment Plan Current:
Date Paid by individual: 08/16/2012
Was any portion of penalty waived? No

Amount Waived:

Regulator Statement

WITHOUT ADMITTING OR DENYING THE FINDINGS, REDMOND CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR ONE MONTH. THE FINE IS DUE AND PAYABLE IMMEDIATELY UPON REASSOCIATION WITH A MEMBER FIRM FOLLOWING THE SUSPENSION OR PRIOR TO ANY REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. THE SUSPENSION IS IN EFFECT FROM FEBRUARY 6, 2012 THROUGH MARCH 5, 2012. FINE PAID IN FULL ON 8/16/2012.

Reporting Source: Individual



Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	01/27/2012
Docket/Case Number:	2009020839601
Employing firm when activity occurred which led to the regulatory action:	MML INVESTOR SERVICES, INC.
Product Type:	Insurance Other: ESTATE PLANNING SERVICES
Allegations:	NASD RULES 2110, 3030 - RANDOLPH REDMOND ENGAGED IN OUTSIDE BUSINESS ACTIVITIES, IN THAT HE PROVIDED INSURANCE AND ESTATE PLANNING SERVICES TO INDIVIDUALS FOR WHICH HE RECEIVED FEES TOTALING APPROXIMATELY \$79000.00. REDMOND FAILED TO GIVE PROMPT AND WRITTEN NOTICE TO HIS MEMBER FIRM THAT HE WAS ENGAGING IN THESE OUTSIDE BUSINESS ACTIVITES.
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:	01/27/2012
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	ONE MONTH
Start Date:	02/06/2012
End Date:	03/05/2012
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:	N/A
Is Payment Plan Current:	
Date Paid by individual:	07/31/2012
Was any portion of penalty waived?	No



Amount Waived:

Broker Statement

WITHOUT ADMITTING OR DENYING THE FINDINGS, REDMOND CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS FINED \$5000.00 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR ONE MONTH. THE FINE IS DUE AND PAYABLE IMMEDIATELY UPON REASSOCIATION WITH A MEMBER FIRM FOLLOWING THE SUSPENSION OR PRIOR TO ANY REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. THE SUSPENSION IS IN EFFECT FROM FEBRUARY 6, 2012 THROUGH MARCH 5, 2012.



Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MML INVESTORS SERVICES, LLC

Allegations: ALLEGE THAT SINCE THEY BEGAN WORKING WITH THE PRODUCER IN MID 1980'S, HE HAS PROVIDED THEM INAPPROPRIATE ADVICE AN HAS COMMITTED SECURITIES FRAUD.

Product Type: Annuity-Variable
Banking Products (other than CDs)
Direct Investment-DPP & LP Interests
Insurance
Mutual Fund
Other: EQUITY INDEXED ANNUITY

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): NO SPECIFIC DAMAGE AMOUNT IS ALLEGED.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 05/27/2009

Complaint Pending? No

Status: Settled

Status Date: 04/18/2011

Settlement Amount: \$48,108.98

Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MML INVESTORS SERVICES, INC.

Allegations: ALLEGE THAT SINCE THEY BEGAN WORKING WITH THE PRODUCER IN THE MID 1980'S, HE HAS PROVIDED THEM WITH INAPPROPRIATE ADVICE AND HAS COMMITTED SECURITIES FRAUD.



Product Type:	Annuity-Variable Banking Products (other than CDs) Direct Investment-DPP & LP Interests Insurance Mutual Fund Other: EQUITY INDEXED ANNUITY
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO SPECIFIC DAMAGE AMOUNT IS ALLEGED.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	05/27/2009
Complaint Pending?	No
Status:	Settled
Status Date:	10/29/2009
Settlement Amount:	\$4,000.00
Individual Contribution Amount:	\$4,000.00



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: MML INVESTORS SERVICES, INC.
Termination Type: Discharged
Termination Date: 08/26/2010
Allegations: PROVIDING INACCURATE INFORMATION DURING AN INTERNAL INVESTIGATION REGARDING THE CHARGING OF OUTSIDE BUSINESS ACTIVITY FEES.
Product Type: No Product

Reporting Source: Individual
Firm Name: MML INVESTOR SERVICES, INC.
Termination Type: Discharged
Termination Date: 08/26/2010
Allegations: PROVIDING INACCURATE INFORMATION DURING AN INTERNAL INVESTIGATION REGARDING THE CHARGING OF OUTSIDE BUSINESS ACTIVITY FEES.
Product Type: No Product



End of Report

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