



IAPD Report

RANDALL BRIAN STOLTZ

CRD# 3090535

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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

RANDALL BRIAN STOLTZ (CRD# 3090535)

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 **01/21/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CONCORDE INVESTMENT SERVICES, LLC	CRD# 151604	02/28/2018
IA	CONCORDE ASSET MANAGEMENT, LLC	CRD# 140367	03/01/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **24** 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	WOODBURY FINANCIAL SERVICES, INC.	421	SCOTTSDALE, AZ	09/21/2006 - 03/02/2018
B	WOODBURY FINANCIAL SERVICES, INC.	421	SCOTTSDALE, AZ	10/06/2003 - 03/02/2018
B	NYLIFE SECURITIES INC.	5167	NEW YORK, NY	08/03/1998 - 08/27/2003

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
Criminal	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 **24** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **CONCORDE ASSET MANAGEMENT, LLC**
Main Address: 3909 RESEARCH PARK DRIVE
SUITE 200
ANN ARBOR, MI 48108
Firm ID#: 140367

	Regulator	Registration	Status	Date
	Arizona	Investment Adviser Representative	Approved	03/01/2018
	Arkansas	Investment Adviser Representative	Approved	01/23/2024
	California	Investment Adviser Representative	Approved	08/29/2022
	Colorado	Investment Adviser Representative	Approved	06/26/2023
	Florida	Investment Adviser Representative	Approved	09/19/2024
	Georgia	Investment Adviser Representative	Approved	02/22/2024
	Idaho	Investment Adviser Representative	Approved	09/17/2021
	Illinois	Investment Adviser Representative	Approved	09/30/2019
	Iowa	Investment Adviser Representative	Approved	01/27/2022
	Michigan	Investment Adviser Representative	Approved	02/23/2024
	Minnesota	Investment Adviser Representative	Approved	04/24/2023
	Missouri	Investment Adviser Representative	Approved	01/22/2026
	New Jersey	Investment Adviser Representative	Approved	01/21/2026



Qualifications

Regulator	Registration	Status	Date
IA New Mexico	Investment Adviser Representative	Approved	06/05/2025
IA New York	Investment Adviser Representative	Approved	01/24/2024
IA Ohio	Investment Adviser Representative	Approved	08/10/2020
IA Oklahoma	Investment Adviser Representative	Approved	01/09/2026
IA Oregon	Investment Adviser Representative	Approved	01/06/2022
IA Pennsylvania	Investment Adviser Representative	Approved	08/16/2024
IA Rhode Island	Investment Adviser Representative	Approved	07/12/2022
IA Utah	Investment Adviser Representative	Approved	05/01/2020
IA Wisconsin	Investment Adviser Representative	Approved	11/04/2022

Branch Office Locations

CONCORDE ASSET MANAGEMENT, LLC

8390 E. Via de Ventura
Suite F205
Scottsdale, AZ 85258

Employment 2 of 2

Firm Name: **CONCORDE INVESTMENT SERVICES, LLC**
Main Address: 3909 RESEARCH PARK DRIVE
SUITE 200
ANN ARBOR, MI 48108
Firm ID#: 151604

Regulator	Registration	Status	Date
B FINRA	Direct Participation Programs	Approved	02/28/2018
B FINRA	Invest. Co and Variable Contracts	Approved	02/28/2018
B Arizona	Agent	Approved	02/28/2018



Qualifications

Regulator	Registration	Status	Date
B Arkansas	Agent	Approved	08/17/2022
B California	Agent	Approved	02/28/2018
B Colorado	Agent	Approved	06/26/2023
B Florida	Agent	Approved	12/17/2021
B Georgia	Agent	Approved	02/22/2024
B Idaho	Agent	Approved	11/22/2023
B Illinois	Agent	Approved	09/12/2024
B Iowa	Agent	Approved	01/27/2022
B Michigan	Agent	Approved	02/23/2024
B Minnesota	Agent	Approved	08/16/2022
B New Mexico	Agent	Approved	05/10/2018
B New York	Agent	Approved	02/01/2019
B Ohio	Agent	Approved	08/11/2020
B Oregon	Agent	Approved	01/04/2022
B Pennsylvania	Agent	Approved	01/03/2024
B Texas	Agent	Approved	11/08/2023
B Utah	Agent	Approved	05/22/2018
B Washington	Agent	Approved	02/28/2018

Branch Office Locations



Qualifications

3909 RESEARCH PARK DRIVE
SUITE 200
ANN ARBOR, MI 48108

8390 E. Via de Ventura
Suite F205
Scottsdale, AZ 85258



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B Direct Participation Programs Representative Examination (S22)	Series 22	08/10/2015
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B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/30/1998
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	09/06/2006
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B Uniform Securities Agent State Law Examination (S63)	Series 63	08/03/1998
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



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	09/21/2006 - 03/02/2018	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	SCOTTSDALE, AZ
B	10/06/2003 - 03/02/2018	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	SCOTTSDALE, AZ
B	08/03/1998 - 08/27/2003	NYLIFE SECURITIES INC.	CRD# 5167	NEW YORK, NY

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
02/2018 - Present	Concorde Asset Management, LLC	Investment Advisor Representative	Y	Ann Arbor, MI, United States
02/2018 - Present	Concorde Investment Services, LLC	Registered Representative	Y	Ann Arbor, MI, United States
10/2003 - Present	Stoltz Financial Partners LLC	Managing Member corp LLC & Insurance Brokerage	N	Scottsdale, AZ, United States
10/2003 - 02/2018	WOODBURY FINANCIAL SERVICES, INC	REGISTERED REP	Y	WOODBURY, MN, 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) Stoltz Financial Partners, Inv related, Scottsdale AZ, DBA for sale and service of traditional, fixed ins. products. President, Agent & Producer. Start: 10/2003, 1-5 hrs/mo during trading hrs.
- 2) Clear Direction Investments LLC, Inv related, Scottsdale AZ, DBA name representing IAR & RR business with Concorde Inv Services LLC, prospecting for new clients & servicing existing clients as an invest. professional/financial planner-advisor. Doubles as an OBA for insurance & annuities. Registered Rep. Start: 12/2016 Full time during trading hrs.
- 3) Campus Advisers, Non-inv related, Scottsdale AZ. Founder, College planning/consulting firm, consultant to operating-business partner Lisa Hullinger and presenter to parents of college-bound students at high school meeting rooms. 1-5 hrs/mo during non-business hrs. 1-5 hrs/mo during business hrs. Start: 02/2022.
- 4) Legal Shield & ID Shield Services Inc/Legal Benefits-Stoltz LLC, Non-inv related, Scottsdale AZ. Ins. plan/Service to assist with personal identity safety & basic common legal issues. Referral Source. Start: 2/2018, 1-5 hrs/mo during non business hrs, 1-5 hrs/mo during business hrs.
- 5) Wealthpoint, Non-inv related, Scottsdale AZ, insur. and succession planning advisory firm to private companies/very profitable business owners, Refer clients to their firm. Get paid a fixed % who pay consulting fee or may split commission on a fixed/traditional life insurance policy. 1-5 hrs/mo during business hrs. Start: 10/2013.
- 6) Concorde Asset Management, LLC. Inv related. Ann Arbor, MI. Investment Advisory sales and service. Start: 03/2018. Full time trading hrs.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

- 7) Concorde Ins Agency, INC. Inv Related. Scottsdale, Arizona. Selling and servicing insur needs. Start: 03/2018. 1-5 during business hrs and 1-5 hrs outside of business hrs.
- 8) Anthem One. Non-inv related. Start: 10/2020. Scottsdale, AZ. Title: Investor Lead Generator. Introduce business contacts to third party that presents investment opportunity. 1-5 hrs/mo during trading hrs.
- 9) Investment/Rental Real Estate, Non Inv related. Phoenix, AZ. Investor, buy/sell and sub-contract any improvements to the properties. 6-10 hrs/mo during non trading hrs, 1-5 hrs/mo during trading hrs.
- 10) Stoltz Financial Partners LLC, Non Inv related, Scottsdale Az, paid referral source for introducing borrowers to lenders, referrer introducing a borrower usually a client of a licensed real estate agent/broker, to a lender. Start: 12/2022, 1-5 hrs/mo during non trading hrs, 1-5 hrs mo during trading hrs.
- 11) Ohio State Life Insur/NexAnnuity, Inv related, Salt Lake City, UT, Agent/Producer, fixed annuity sales, broker fixed annuities, Start: 07/2023, 1-5 hrs/mo during non trading hrs, 1-5 hrs during trading hrs.
- 12) Legal Benefits-Stoltz LLC, Non inv related, Scottsdale AZ, Corporate LLC for Patti's Stoltz Legalshield Services commission sales business, LLC member, submit info to CPA, IRS. Start: 03/2018, 1-5 hrs/mo during non trading hrs, 1-5 hrs/mo during trading hrs.
- 13) Rockrich Stoltz LLC, Inv related. Start-May 2024. Acquire residential real estate to improve it and get it rented for Senior Care / Assisted Living, Scottsdale, AZ. Managing Member and 50% owner. 6-10 hrs/mo
- 14) RJ Group Homes 1 LLC. Inv related. Start: 05/2024. Acquire residential real estate to improve it and get it rented for Senior Care / Assisted Living, Scottsdale, AZ. Managing Member and 50% owner. 6-10 hrs/mo
- 15) RJGH Investors 1 LLC. Member. LLC for accounting purposes. Inv. related. Scottsdale, AZ. Start: 05/2024. 1-5 hrs/mo during non trading hrs, 1-5 hrs/mo during trading hrs
- 16) Captive Consultants/SRA 831b.com/831b-Experts LLC. Inv related, Start: 11/2024. Referral rep, refer clients who are potential fit to open capitive insur company. 6-10 hrs/mo during trading hour
- 17) Author-Clear Direction Investments. Non-inv related. Writing/selling book as prosp tool. Start Sept. 2025. Nicholasville, KY. 1-5hrs/mo non-trad hrs. 6-10 hrs/mo trading h



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
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Criminal	1
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Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	MARACOPIA COUNTY SUPERIOR COURT
Location of Court:	MARICOPA COUNTY, AZ
Docket/Case #:	CR 136472
Charge Date:	10/21/1983
Charge(s) 1 of 1	
Formal Charge(s)/Description:	SALE OF MARIJUANA, POSSESSION OF MARIJUANA, POSSESTION OF NARCOTIC DRUGS
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Reduced
Date of Amended Charge:	10/21/1983
Charge was Amended or reduced to:	I PLEAD GUILTY TO POSSESSION OF MARIJUANA. FINE WAS \$685.00 PLUS PROBATION. ALL FELONY CHARGES WERE DROPPED AND THE IPOM CHARGE CONVERTED FROM CLASS 6 OPEN END INTO A MISDEMEANOR.
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	I PLEAD GUILTY TO POSSESSION OF MARIJUANA. FINE WAS \$685.00 PLUS PROBATION. ALL FELONY CHARGES WERE DROPPED AND THE IPOM CHARGE



Disposition of Amended Charge:	Pled guilty
Current Status:	Final
Status Date:	01/05/1984
Disposition Date:	01/05/1984
Sentence/Penalty:	I PLEAD GUILTY TO POSSESSION OF MARIJUANA. FINE WAS \$685.00 PLUS PROBATION. ALL FELONY CHARGES WERE DROPPED AND THE IPOM CHARGE CONVERTED FROM CLASS 6 OPEN END INTO A MISDEMEANOR
Broker Statement	REFER TO LETTER DATED 11-23-98 TO [BROKER DEALER CONTACT PERSON] AT NEW YORK LIFE. ARREST IN TEMPE, AZ 8-5-83 TRANSFERRED TO SUPERIOR COURT ON 10-21-1983



End of Report

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