

## BrokerCheck Report

# EXECUTIVE SERVICES SECURITIES, LLC

CRD# 25299

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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.

## About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

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

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

• **Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at [brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit [www.finra.org](http://www.finra.org).



## EXECUTIVE SERVICES SECURITIES, LLC

CRD# 25299

SEC# 8-41649

### Main Office Location

3445 PEACHTREE ROAD NE  
SUITE 200  
ATLANTA, GA 30326-1156  
Regulated by FINRA Atlanta Office

### Mailing Address

3445 PEACHTREE ROAD NE  
SUITE 200  
ATLANTA, GA 30326-1156

### Business Telephone Number

404-504-3800

This firm is a brokerage firm and an investment adviser firm. For more information about investment adviser firms, visit the SEC's Investment Adviser Public Disclosure website at:

<https://www.adviserinfo.sec.gov>

## Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

### Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Georgia on 12/23/1998.

Its fiscal year ends in December.

### Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

### Firm Operations

**This firm is registered with:**

- the SEC
- 1 Self-Regulatory Organization
- 49 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 3 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm does not have referral or financial arrangements with other brokers or dealers.

### Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**



## Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Georgia on 12/23/1998.

Its fiscal year ends in December.

## Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

### EXECUTIVE SERVICES SECURITIES, LLC

Doing business as EXECUTIVE SERVICES SECURITIES, LLC

**CRD#** 25299

**SEC#** 8-41649

### Main Office Location

3445 PEACHTREE ROAD NE  
SUITE 200  
ATLANTA, GA 30326-1156

**Regulated by FINRA Atlanta Office**

### Mailing Address

3445 PEACHTREE ROAD NE  
SUITE 200  
ATLANTA, GA 30326-1156

### Business Telephone Number

404-504-3800



## Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

### Direct Owners and Executive Officers

<b>Legal Name &amp; CRD# (if any):</b>	NFP CORP.
<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity
<b>Position</b>	SOLE MEMBER
<b>Position Start Date</b>	02/2007
<b>Percentage of Ownership</b>	75% or more
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	FELTS, KENNETH LEE
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	CFO
<b>Position Start Date</b>	12/2003
<b>Percentage of Ownership</b>	Less than 5%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	KROELL, EDWARD HAROLD 2615310
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	CHIEF COMPLIANCE OFFICER
<b>Position Start Date</b>	12/1999
<b>Percentage of Ownership</b>	Less than 5%

## Firm Profile



### Direct Owners and Executive Officers (continued)

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** MOO, VERONICA EI CHUN  
5867442

**Is this a domestic or foreign entity or an individual?** Individual

**Position** DIRECTOR

**Position Start Date** 07/2017

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** No

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** O'MALLEY, EDWARD GEORGE  
5902666

**Is this a domestic or foreign entity or an individual?** Individual

**Position** DIRECTOR

**Position Start Date** 02/2015

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** No

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** SCHNEIDER, BRETT RONALD  
5636953

Firm Profile



Direct Owners and Executive Officers (continued)

Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR
Position Start Date	01/2009
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

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## Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

### Indirect Owners

<b>Legal Name &amp; CRD# (if any):</b>	AON, PLC
<b>Is this a domestic or foreign entity or an individual?</b>	Foreign Entity
<b>Company through which indirect ownership is established</b>	RANDOLPH FINANCE UNLIMITED COMPANY
<b>Relationship to Direct Owner</b>	OWNER
<b>Relationship Established</b>	04/2024
<b>Percentage of Ownership</b>	75% or more
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	Yes

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<b>Legal Name &amp; CRD# (if any):</b>	NFP INTERMEDIATE HOLDINGS B. CORP.
<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity
<b>Company through which indirect ownership is established</b>	NFP CORP.
<b>Relationship to Direct Owner</b>	OWNER
<b>Relationship Established</b>	07/2013
<b>Percentage of Ownership</b>	75% or more
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	RANDOLPH ACQUISITION CORP.
<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity



## Firm Profile



### Indirect Owners (continued)

**Company through which indirect ownership is established** NFP INTERMEDIATE HOLDINGS B CORP.

**Relationship to Direct Owner** OWNER

**Relationship Established** 04/2024

**Percentage of Ownership** 75% or more

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** RANDOLPH FINANCE UNLIMITED COMPANY

**Is this a domestic or foreign entity or an individual?** Foreign Entity

**Company through which indirect ownership is established** RANDOLPH ACQUISITION CORP.

**Relationship to Direct Owner** OWNER

**Relationship Established** 04/2024

**Percentage of Ownership** 75% or more

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

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## Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.





Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

**This firm is currently registered with the SEC, 1 SRO and 49 U.S. states and territories.**

Federal Regulator	Status	Date Effective
SEC	Approved	10/06/1989

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer:    Yes

A broker-dealer and government securities broker or dealer:    No

A government securities broker or dealer only:    No

This firm has ceased activity as a government securities broker or dealer:    No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	02/07/1990



## Firm Operations

### Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	10/27/1997
Arizona	Approved	01/01/2006
Arkansas	Approved	08/03/2009
California	Approved	09/09/1999
Colorado	Approved	10/10/1997
Connecticut	Limited	06/14/1990
Delaware	Approved	04/06/1993
District of Columbia	Approved	08/22/1998
Florida	Approved	06/20/1993
Georgia	Approved	02/05/1990
Hawaii	Approved	02/24/2010
Idaho	Approved	08/15/2008
Illinois	Approved	03/02/1990
Indiana	Approved	07/15/2002
Iowa	Approved	07/29/1998
Kansas	Approved	01/04/1999
Kentucky	Approved	11/06/2008
Louisiana	Approved	12/13/1989
Maine	Approved	01/11/2001
Maryland	Approved	02/15/1990
Massachusetts	Approved	03/19/1990
Michigan	Approved	07/16/1997
Minnesota	Approved	05/23/1997
Mississippi	Approved	06/14/2002
Missouri	Approved	08/16/1995
Montana	Limited	08/03/1998
Nebraska	Limited	05/29/1997
Nevada	Approved	04/24/1997
New Hampshire	Limited	08/13/2009
New Jersey	Approved	09/23/1991
New Mexico	Approved	01/03/2006
New York	Approved	10/22/1990
North Carolina	Limited	11/17/1993

U.S. States & Territories	Status	Date Effective
Ohio	Approved	09/21/1993
Oklahoma	Approved	07/07/1998
Oregon	Approved	10/01/2008
Pennsylvania	Approved	02/12/1990
Rhode Island	Approved	06/10/1997
South Carolina	Approved	08/24/1994
South Dakota	Approved	10/02/1997
Tennessee	Approved	04/17/1990
Texas	Approved	11/08/1990
Utah	Approved	06/20/2002
Vermont	Approved	03/23/2009
Virginia	Approved	02/20/1992
Washington	Approved	03/05/1999
West Virginia	Approved	01/24/1992
Wisconsin	Approved	08/31/1998
Wyoming	Approved	09/08/2008



## Firm Operations

### Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

**This firm currently conducts 3 types of businesses.**

#### Types of Business

Broker or dealer selling variable life insurance or annuities

Investment advisory services

Other - APPLICANT ENGAGES IN THE DESIGN AND IMPLEMENTATION OF NONQUALIFIED DEFERRED OR SUPPLEMENTAL EXECUTIVE RETIREMENT PLANS WHICH MAY INVOLVE A SECURITY IN THE FORM OF A DEFERRED COMPENSATION OBLIGATION.

#### Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does not engage in other non-securities business.

Non-Securities Business Description:

## **Firm Operations**



### **Clearing Arrangements**

**This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).**

### **Introducing Arrangements**

**This firm does not refer or introduce customers to other brokers and dealers.**

## **Firm Operations**

### **Industry Arrangements**



**This firm does not have books or records maintained by a third party.**

**This firm does not have accounts, funds, or securities maintained by a third party.**

**This firm does not have customer accounts, funds, or securities maintained by a third party.**

#### **Control Persons/Financing**

**This firm does not have individuals who control its management or policies through agreement.**

**This firm does not have individuals who wholly or partly finance the firm's business.**



## Firm Operations

### Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

**This firm is, directly or indirectly:**

- in control of
  - controlled by
  - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

**SCHMIDT FINANCIAL GROUP, INC. is under common control with the firm.**

<b>CRD #:</b>	119841
<b>Business Address:</b>	620 KIRKLAND WAY SUITE 205 KIRKLAND, WA 39033
<b>Effective Date:</b>	04/01/2003
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	UNDER COMMON CONTROL, SAME PARENT COMPANY AS APPLICANT

**DIVERGENT WEALTH ADVISORS, LLC is under common control with the firm.**

<b>CRD #:</b>	286383
<b>Business Address:</b>	489 W. SOUTH JORDAN PARKWAY, SUITE 3101 SOUTH JORDAN, UT 84095
<b>Effective Date:</b>	08/01/2023
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	DIRECTLY OWNED BY, OR INDIRECTLY UNDER COMMON CONTROL WITH, THE PARENT COMPANY OF APPLICANT.



## Firm Operations



### Organization Affiliates (continued)

**ACCOUNTANTS PROPRIETARY FINANCIAL SERVICENET, INC. is under common control with the firm.**

<b>CRD #:</b>	126685
<b>Business Address:</b>	45 EXECUTIVE DRIVE SUITE 301 PLAINVIEW, NY 79072
<b>Effective Date:</b>	12/01/2021
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	DIRECTLY OWNED BY, OR INDIRECTLY UNDER COMMON CONTROL WITH, THE PARENT COMPANY OF APPLICANT.

**FIDUCIARY FIRST is under common control with the firm.**

<b>CRD #:</b>	150330
<b>Business Address:</b>	1060 MAITLAND CENTER COMMONS SUITE 360 MAITLAND, FL 32751
<b>Effective Date:</b>	10/01/2018
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	UNDER COMMON CONTROL, SAME PARENT COMPANY AS APPLICANT.

**SST BENEFITS CONSULTING is under common control with the firm.**

<b>CRD #:</b>	288129
<b>Business Address:</b>	4364 TOWN CENTER BLVD EL DORADO HILLS, CA 95762
<b>Effective Date:</b>	09/06/2016
<b>Foreign Entity:</b>	No

## Firm Operations



### Organization Affiliates (continued)

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** DIRECTLY OWNED BY, OR INDIRECTLY UNDER COMMON CONTROL WITH, THE PARENT COMPANY OF APPLICANT.

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**WEALTHSPIRE ADVISORS is under common control with the firm.**

**CRD #:** 106181

**Business Address:** 261 MADISON AVENUE, 14TH FLOOR  
NEW YORK, NY 10016

**Effective Date:** 08/01/2005

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** UNDER COMMON CONTROL, SAME PARENT COMPANY AS APPLICANT.

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**RETIREMENT INVESTMENT ADVISORS INC is under common control with the firm.**

**CRD #:** 106316

**Business Address:** 3001 UNITED FOUNDERS BLVD.  
OKLAHOMA CITY, OK 73112

**Effective Date:** 01/01/2003

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** UNDER COMMON CONTROL, SAME PARENT COMPANY AS APPLICANT.

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**FIDUCIENT ADVISORS LLC is under common control with the firm.**

**CRD #:** 106720

**Firm Operations****Organization Affiliates (continued)**

**Business Address:** 500 WEST MADISON STREET, SUITE 3855  
CHICAGO, IL 60661

**Effective Date:** 09/18/2000

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** UNDER COMMON CONTROL, SAME PARENT COMPANY AS APPLICANT.

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**NFP RETIREMENT INC. is under common control with the firm.**

**CRD #:** 121254

**Business Address:** 120 VANTIS, SUITE 400  
ALISO VIEJO, CA 92656

**Effective Date:** 08/12/2006

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** UNDER COMMON CONTROL, SAME PARENT COMPANY AS APPLICANT.

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**BALSER FINANCIAL CORPORATION is under common control with the firm.**

**CRD #:** 148426

**Business Address:** 3445 PEACHTREE ROAD, NE  
SUITE 200  
ATLANTA, GA 30326

**Effective Date:** 01/01/2000

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

## Firm Operations



### Organization Affiliates (continued)

**Investment Advisory Activities:** Yes

**Description:** UNDER COMMON CONTROL, SAME PARENT COMPANY AS APPLICANT.

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**This firm is not directly or indirectly, controlled by the following:**

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank

**End of Report**



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