

BrokerCheck Report

ROBERT KENDALL HOLMAN

CRD# 1121659

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5 - 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.

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:
 - o 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
 - o 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



For additional information about the contents of this report, please refer to the User Guidance or 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.

ROBERT K. HOLMAN

CRD# 1121659

This broker is not currently registered.

Report Summary for this Broker



This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is not currently registered.

This broker has passed:

- 2 Principal/Supervisory Exams
- 6 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

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

- B VISTIA CAPITAL, LLC**
CRD# 311342
CASTLE ROCK, CO
04/2024 - 09/2024
- B OBERON SECURITIES, LLC**
CRD# 132598
NEW YORK, NY
05/2021 - 04/2024
- B INDEPENDENT INVESTMENT BANKERS, CORP.**
CRD# 154134
AUSTIN, TX
07/2019 - 02/2021

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

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

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 2 principal/supervisory exams, 6 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B Municipal Securities Principal Examination	Series 53	06/25/1993
B General Securities Principal Examination	Series 24	02/14/1992

General Industry/Product Exams

Exam	Category	Date
B Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B Municipal Securities Representative Examination	Series 52TO	01/02/2023
B Operations Professional Examination	Series 99TO	01/02/2023
B Securities Industry Essentials Examination	SIE	08/31/2017
B Municipal Advisor Representative Qualification Exam	Series 50	02/15/2016
B General Securities Representative Examination	Series 7	06/18/1983

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	04/25/1986

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

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

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 04/2024 - 09/2024	VISTIA CAPITAL, LLC	311342	CASTLE ROCK, CO
B 05/2021 - 04/2024	OBERON SECURITIES, LLC	132598	NEW YORK, NY
B 07/2019 - 02/2021	INDEPENDENT INVESTMENT BANKERS, CORP.	154134	AUSTIN, TX
B 05/2016 - 08/2017	CARTER, TERRY & COMPANY, INC.	16365	BIRMINGHAM, AL
B 08/2012 - 06/2014	CREWS & ASSOCIATES, INC.	8052	BIRMINGHAM, AL
B 02/2006 - 09/2012	PROEQUITIES, INC.	15708	BIRMINGHAM, AL
B 10/1999 - 03/2006	SYNOVUS SECURITIES, INC.	14023	BIRMINGHAM, AL
B 05/1991 - 11/1999	SOUTHTRUST SECURITIES, INC.	17922	BIRMINGHAM, AL
B 01/1986 - 08/1995	THOMSON MCKINNON SECURITIES INC.	829	
B 11/1990 - 05/1991	VAN KAMPEN MERRITT INC.	6939	HOUSTON, TX
B 04/1987 - 02/1988	CHEMICAL SECURITIES, INC.	18718	
B 06/1983 - 12/1985	THORNTON, FARISH & GAUNTT, INC.	830	

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
04/2024 - Present	Vistia Capital, LLC	Investment Adviser	Y	Castle Rock, CO, United States
06/2014 - Present	RK Holman & Co.	Owner/ President	Y	Birmingham, AL, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
04/2021 - 04/2024	Oberon Securities LLC	Managing Director	Y	New York, NY, United States
07/2019 - 02/2021	Independent Investment Bankers Corp	Investment Banker	Y	Austin, TX, United States
05/2016 - 08/2017	Carter Terry & Co. Inc.	Registered Representative	Y	Atlanta, GA, United States

Other Business Activities

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

Through RK Holman & Company, LLC, a single member Alabama limited liability corporation,

I provide expert testimony in legal proceedings, consulting and strategic advice on business succession issues and related planning thereof, consulting services related to marketing, financial

reporting and accounting systems, treasury management systems, inventory control and management, business policies, procedures and documentation thereof, advice on real estate usage and master planning, assistance on evaluation of real estate brokers, developers and partners, assistance in planning for changes in systems and operations resulting from changes in ownership or credit providers. All of these services are provided to privately held businesses, typically in the form of limited liability or subchapter corporations. Time expended approximately 10 hours per week.

Compensation can be hourly, success fees or flat fee depending upon the nature of the engagement.

End of Report



This page is intentionally left blank.