

BrokerCheck Report

EDMOND HARTWELL RANDLE JR

CRD# 1172253

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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



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.

**EDMOND H. RANDLE JR**

CRD# 1172253

Currently employed by and registered with the following Firm(s):

- B PFS INVESTMENTS INC.**
 3605 LORNA RIDGE DR
 STE209
 HOOVER, AL 35216
 CRD# 10111
 Registered with this firm since: 07/11/1984

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 registered with:

- 1 Self-Regulatory Organization
- 10 U.S. states and territories

This broker has passed:

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

Registration History

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

No information reported.

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? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	5
Criminal	1



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 individual is currently registered with 1 SRO and is licensed in 10 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **PFS INVESTMENTS INC.**

Main Office Address: **1 PRIMERICA PARKWAY
DULUTH, GA 30099-0001**

Firm CRD#: **10111**

	SRO	Category	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	07/11/1984
B	FINRA	Investment Co./Variable Contracts Prin	Approved	12/18/1985

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	07/09/1984
B	Florida	Agent	Approved	01/19/2018
B	Georgia	Agent	Approved	10/21/1987
B	Indiana	Agent	Approved	07/19/2019
B	Kentucky	Agent	Approved	11/28/2000
B	Massachusetts	Agent	Approved	01/07/2020
B	Mississippi	Agent	Approved	03/30/1999
B	New York	Agent	Approved	07/08/2000
B	Virginia	Agent	Approved	07/09/1985
B	Wisconsin	Agent	Approved	10/30/2000

Branch Office Locations

Broker Qualifications



Employment 1 of 1, continued

PFS INVESTMENTS INC.
3605 LORNA RIDGE DR
STE209
HOOVER, AL 35216



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 1 principal/supervisory exam, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Principal Examination	Series 26	12/13/1985

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination	Series 6	09/06/1983

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	09/07/1983

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
No information reported.			

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
06/2018 - Present	EHR Financial Group	Agent/Rep/Owner	Y	Hoover, AL, United States
11/1985 - Present	PFS Investments Inc.	Sales	Y	Hoover, AL, United States
10/1982 - Present	Primerica Financial Services	Sales	Y	Hoover, AL, 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.

Sales of investment-related products; part-time or full-time, for companies affiliated with PFS Investments Inc. As of 06/13/2018 these sales activities will be conducted under the D/B/A of EHR Financial Group. I may also receive non-investment related compensation from Primerica Mortgage, LLC for the sale of loan products and/or Primerica Client Services, Inc. (a co-located affiliate of PFS Investments Inc.) for part-time referrals of home security and automation products, as well as other home related services.

Lornaridge Group, LLC., Owner/Partner/Landlord, 10/2007 to Present.

EHR International Insurance Agency, LLC., (Formerly known as: EHR International, LLC, Randle & Associates, LLC.), Investment related, Hoover, AL 35216, Primerica business purposes, Owner, 09/21/2004 to Present, 1 hour committed per month (0 hours during securities trading hours), Legal entity formed solely for Primerica business purposes.

Disclosure Events



What you should know about reported disclosure events:

1. 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.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	5	0
Criminal	0	1	0



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 5

Reporting Source:	Broker
Regulatory Action Initiated By:	ILLNOIS DEPARTMENT OF INSURANCE
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	
Date Initiated:	02/08/2000
Docket/Case Number:	N/A
Employing firm when activity occurred which led to the regulatory action:	PFS INVESTMENTS, INC.
Product Type:	Insurance
Other Product Type(s):	
Allegations:	THE ILLINOIS DEPARTMENT OF INSURANCE IS ALLEGING I FAILED TO REPORT ON MY 2000 INSURANCE LICENSE RENEWAL FORM THAT I WAS DENIED A NONRESIDENT INSURANCE LICENSE IN MISSOURI IN 1999.
Current Status:	Final
Resolution:	Stipulation and Consent
Resolution Date:	04/27/2000



Sanctions Ordered:	Monetary/Fine \$500.00
Other Sanctions Ordered:	I HAVE BEEN ORDERED TO TRUTHFULLY ANSWER ALL QUESTIONS ON ANY APPLICATION FOR A LICENSE THAT COULD BE ISSUED IN ILLINOIS.
Sanction Details:	CIVIL FORFEITURE OF \$500 WAS PAID BYME ON APRIL 24, 2000.
Broker Statement	EFFECTIVE APRIL 27, 2000, THE STIPULATION AND CONSENT WAS SIGNED BY THE ILLINOIS DIRECTOR AND THE \$500 CIVIL FORFEITURE PAYMENT WAS RECEIVED.

Disclosure 2 of 5

Reporting Source:	Broker
Regulatory Action Initiated By:	MISSOURI DEPARTMENT OF INSURANCE
Sanction(s) Sought:	Denial
Other Sanction(s) Sought:	
Date Initiated:	03/23/1999
Docket/Case Number:	FILE NO. 99A000122
Employing firm when activity occurred which led to the regulatory action:	PFS INVESTMENTS, INC.
Product Type:	Insurance
Other Product Type(s):	
Allegations:	ON MY NONRESIDENT INSURANCE LICENSE APPLICATION I DISCLOSED MY 1974 CONVICTION. THE MISSOURI DEPARTMENT REQUEST A LETTER OUTLINING ADDITIONAL DETAILS. THE RESPONSE WAS DUE APRIL 13, 1999. THE DEPARTMENT ALLEGED I FAILED TO RESPOND BY THE DEADLINE.
Current Status:	Final
Resolution:	Other
Resolution Date:	05/28/1999
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	MY NONRESIDENT INSURANCE LICENSE WAS REFUSED BY THE MISSOURI



DEPARTMENT OF INSURANCE.

Broker Statement

MY NON RESIDENT INSURANCE WAS REFUSED BY THE MISSOURI DEPARTMENT OF INSURANCE ON MAY 28, 1999. DUPLICATION OF OCCURENCE #773108 ON #773107 SENT IN ERROR.

Disclosure 3 of 5

Reporting Source: Broker

Regulatory Action Initiated By: WEST VIRGINIA DEPARTMENT OF INSURANCE

Sanction(s) Sought: Denial

Other Sanction(s) Sought:

Date Initiated: 03/02/1999

Docket/Case Number: UNKNOWN

Employing firm when activity occurred which led to the regulatory action: PFS INVESTMENTS, INC.

Product Type: Insurance

Other Product Type(s):

Allegations: ON MY NONRESIDENT INSURANCE LICENSE APPLICATION. I DISCLOSED A 1974 CONVICTION. THE WEST VIRGINIA DEPARTMENT DENIED MY APPLICATION BECAUSE OF THE CONVICTED I DISCLOSED.

Current Status: Final

Resolution: Other

Resolution Date: 03/02/1999

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: MY NONRESIDENT INSURANCE LICENSE WAS DEINED BY THE WEST VIRGINIA DEPARTMENT OF INSURANCE ON 03-02-1999.

Broker Statement MY NONRESIDENT INSURANCE WAS DENIED BY THE WEST VIRGINIA DEPARTMENT OF INSURANCE ON 03-02-1999.

Disclosure 4 of 5



Reporting Source:	Regulator
Regulatory Action Initiated By:	VIRGINIA
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	07/09/1985
Docket/Case Number:	UNKNOWN
Employing firm when activity occurred which led to the regulatory action:	FIRST AMERICAN NATIONAL SECURITIES INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	RANDLE PLED NOLO CONTENDERE IN 1974 TO ONE COUNT OF A TWENTY TWO COUNT SECURITIES FRAUD, MAIL FRAUD AND CONSPIRACY INDICTMENT.
Current Status:	Final
Resolution:	Dismissed
Resolution Date:	06/29/1987
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	VIRGINIA HAS, AS A CONDITION OF REGISTRATION, PLACED RANDLE ON A STRICT SUPERVISION PROGRAM IN ADDITION TO THE CURRENT COMPANY INITIATED PROCEDURES. RANDLE WILL PROVIDE HIS MEMBER FIRM'S COMPLIANCE DEPARTMENT WITH MEETING SCHEDULES, OUTLINES AS TO SUBSTANCE OF MEETING DISCUSSIONS AND COPIES OF ANY MATERIALS OR HANDOUTS USED AT SUCH MEETINGS. IN ADDITION, THE COMPLIANCE OFFICER OR ANOTHER HOME OFFICE PRINCIPAL SHALL PERSONALLY PERFORM THE EQUIVALENT OF AN ANNUAL REVIEW OF RANDLE'S OFFICE ON A QUARTERLY BASIS. FURTHERMORE, RANDLE IS RESTRICTED TO THE OFFER AND SALE OF MUTUAL FUND SHARES AND THE COMPLIANCE OFFICER SHALL DIRECTLY SUPERVISE RANDLE'S SECURITIES RELATED ACTIVITY IN VIRGINIA INCLUDING REVIEW, ON A WEEKLY BASIS, OF RANDLE'S SECURITIES TRANSACTIONS AND CONTACTING, ON A MONTHLY BASIS, RANDOMLY SELECTED CUSTOMERS OF RANDLE TO ASCERTAIN IF THEY HAVE ANY COMPLAINTS WITH REGARD



TO THE HANDLING OF THEIR ACCOUNTS. ADDITIONAL SUPERVISORY REQUIREMENTS MAY BE RECONSIDERED FOR AMENDMENT OR DELETION UPON PETITION BY RANDLE AND FIRST AMERICAN NATIONAL SECURITIES, INC. AT ANY TIME SUBSEQUENT TO ONE YEAR FROM DATE OF RANDLE'S INITIAL REGISTRATION.

Regulator Statement

UPON REQUEST AND BASED ON INFORMATION CONTAINED IN CORRESPONDENCE FROM RESPONDENT'S MEMBER FIRM COMPLIANCE OFFICER, THE COMMONWEALTH OF VIRGINIA HAS REMOVED THE SPECIAL SUPERVISOR RESTRICTIONS IMPOSED ON MR. RANDLE BY LETTER DATED JULY 9, 1985.

Reporting Source: Broker

Regulatory Action Initiated By: THE STATE OF VIRGINIA

Sanction(s) Sought: Other

Other Sanction(s) Sought: THE STATE OF VIRGINIA REQUIRED A STRICT SUPERVISION PROGRAM.

Date Initiated: 07/09/1985

Docket/Case Number: UNKNOWN

Employing firm when activity occurred which led to the regulatory action: FIRST AMERICAN NATIONAL SECURITIES

Product Type: Mutual Fund(s)

Other Product Type(s):

Allegations: THE STATE OF VIRGINIA REQUIRED A STRICT SUPERVISION PROGRAM. THE COMPLIANCE OFFICER DIRECTLY SUPERVISED MY SECURITIES RELATED ACTIVITIES IN VIRGINIA INCLUDING REVIEW, ON A WEEKLY BASIS ALL SECURITIES TRANSACTIONS AND CONTACTED ON A MONTHLY BASIS RANDOMLY SELECTED CUSTOMERS TO ASCERTAIN IF THEY HAD ANY COMPLAINTS WITH REGARD TO THE HANDLING OF THEIR ACCOUNTS.

Current Status: Final

Resolution: Dismissed

Resolution Date: 06/29/1987

Sanctions Ordered:

**Other Sanctions Ordered:****Sanction Details:**

THE COMPLIANCE OFFICER DIRECTLY SUPERVISED MY SECURITIES RELATED ACTIVITIES IN VIRGINIA INCLUDING REVIEW, ON A WEEKLY BASIS ALL SECURITIES TRANSACTIONS AND CONTACTED ON A MONTHLY BASIS RANDOMLY SELECTED CUSTOMERS TO ASCERTAIN IF THEY HAD ANY COMPLAINTS WITH REGARD TO THE HANDLING OF THEIR ACCOUNTS.

Broker Statement

NOT PROVIDED

Disclosure 5 of 5**Reporting Source:**

Regulator

Regulatory Action Initiated By:

NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other: N/A

Date Initiated:

11/13/1991

Docket/Case Number:

CO5910087

Employing firm when activity occurred which led to the regulatory action:

FIRST AMERICAN NATIONAL SECURITIES

Product Type:

No Product

Allegations:

ARTICLE III, SECTIONS 1, 21(C) AND 27 OF THE RULES OF FAIR PRACTICE - RESPONDENT RANDLE AND ANOTHER INDIVIDUAL, ON BEHALF OF A MEMBER FIRM FAILED TO ADEQUATELY ENFORCE OR MONITOR THE TERMS OF A SUSPENSION PLACED ON A REGISTERED REPRESENTATIVE BY RESPONDENT MEMBER AND FAILED TO TAKE ANY ADDITIONAL SUPERVISORY MEASURES DESPITE KNOWING THAT THE REPRESENTATIVE HAD ALREADY COMMITTED AN ACT FOR WHICH HE SHOULD HAVE BEEN TERMINATED; IN CONTRAVENTION OF THE TERMS OF THE AFOREMENTIONED SUSPENSION, THE SAME INDIVIDUAL WAS ALLOWED TO COMPLETE AN OFFICE COMPLIANCE CHECKLIST WITH RESPECT TO SECURITIES-RELATED ACTIVITIES TAKING PLACE IN THE BRANCH OFFICE; AND, RESPONDENT MEMBER, ACTING THROUGH RESPONDENT RANDLE, ACCEPTED A NEW ACCOUNT APPLICATION FOR A PUBLIC CUSTOMER SUBMITTED BY THE SAME REPRESENTATIVE DURING THE SUSPENSION PERIOD WHICH LISTED ANOTHER INDIVIDUAL AS THE REGISTERED REPRESENTATIVE IN ORDER TO CONCEAL



HIS SOLICITATION, ACCEPTANCE, AND MISUSE OF CUSTOMER FUNDS WHILE UNDER SUSPENSION. THIS APPLICATION WAS ACCEPTED BY RESPONDENT MEMBER WITHOUT THE REVIEW AND ENDORSEMENT OF THE DESIGNATED BACK OFFICE PRINCIPAL.

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:	05/08/1992
Sanctions Ordered:	Censure Civil and Administrative Penalty(ies)/Fine(s)
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?

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$7,500.00
Portion Levied against individual:	\$7,500.00

Payment Plan:



Is Payment Plan Current:	Yes
Date Paid by individual:	05/15/1992
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	ON APRIL 28, 1992, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT C05910087 (DISTRICT NO. 5) SUBMITTED BY EDMOND H. RANDLE, JR. WAS ACCEPTED; THERFORE, RESPONDENT RANDLE IS CENSURED AND FINED \$7,500, JOINTLY AND SEVERALLY. FINE PAID IN FULL ON 5/15/92.
<hr/>	
Reporting Source:	Broker
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS INC (NASD)
Sanction(s) Sought:	Censure
Other Sanction(s) Sought:	FINE
Date Initiated:	03/03/1992
Docket/Case Number:	CO5910087
Employing firm when activity occurred which led to the regulatory action:	FIRST AMERICAN NATIONAL SECURITES
Product Type:	Mutual Fund(s)
Other Product Type(s):	
Allegations:	VIOLOCATION OF ARTICLE III, SECTION 1, 21(C) AND 27. THE NASD ISSUED AWC THAT WAS ACCEPTED WITH A MONETARY FINE IN THE AMOUNT OF \$7,500.00 WHICH IS TO BE ASSESSED JOINTLY AND SEVERALLY. THE NASD ALLEGED THAT I FAILED TO ADEQUATLEY ENFORCE OR MONTIOR THE TERMS OF SUSPENSION OF REGISTERED REP. JERRY EDMONDSON IN VIOLATION OF ARTICLE 111, SECTIONS 1.21C AND 27 OF THE RULES OF FAIR PRACTICE.
Current Status:	Final
Resolution:	Consent
Resolution Date:	05/08/1992



Sanctions Ordered:

Censure
Monetary/Fine \$7,500.00

Other Sanctions Ordered:

NONE

Sanction Details:

A CENSURE AND MONETARY FINE IN THE AMOUNT OF 7500.00 WAS ASSESSED JOINTLY AND SEVERALLY AGAINST ME AND THE FIRM. THE FINE WAS PAID 05/08/1992.

Broker Statement

ON 03/03/1992 I SIGNED A CONSENT AGREEMENT AGREEING TO A CENSURE AND FINE FOR ALLEGED VIOLATIONS OF ARTICLE 111, SECTIONS 1.21C AND 27 OF THE RULES OF FAIR PRACTICE. THE FINE WAS PAID 05/08/1992.



Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source:	Broker
Organization Name (if charge(s) were brought against an organization over which broker exercised control):	N/A
Court Details:	UNITED STATES DISTRICT COURT FOR EASTERN DISTRICT OF VIRGINIA. CASE NO. CR 84-74-A
Charge Date:	03/15/1974
Charge Details:	MAIL FRAUD (18 USC 1341)-14 COUNTS, FELONY, PLEAD NOLO CONTENDERE TO COUNT 9, NOT GUILTY TO COUNTS 1-8 AND 10-14, PRODUCT TYPES INCLUDED REAL ESTATE AND UNSECURED PROMISSORY NOTES; INTERSTATE SECURITIES FRAUD (15 USC 77G)-6 COUNTS, FELONY, PLED NOT GUILTY TO ALL, PRODUCT TYPES INCLUDED REAL ESTATE AND UNSECURED PROMISSORY NOTES; CONSPIRACY (18 USC 371), 1 COUNT, FELONY, PLED NOT GUILTY, PRODUCT TYPES INCLUDED REAL ESTATE AND UNSECURED PROMISSORY NOTES.
Felony?	Yes
Current Status:	Final
Status Date:	05/17/1974
Disposition Details:	MAIL FRAUD (18USC 1341)ONE COUNT: A. CONVICTED B.5/17/1974 C. CONFINMENT D. TWO YEARS, SERVED 30 DAYS AND THE BALANCE SUSPENDED WHILE ON PROBATION. E. 5/17/1974 F. NO FINE G. N/A:ALL OTHER CHARGES NAMED ABOVE WERE DISMISSED 04/05/1974.
Broker Statement	RANDLE WAS CONVICTED FOR CONSPIRING TO DEFRAUD THE U.S. MAILS IN MAY 1974. IN 1968 I BECAME A CONSULTANT AND LATER PRESIDENT FOR A BUSINESS VENTURE INVOLVING MEMBERSHIP DISCOUNT STORES. A RECESSION OCCURRED AN ANTICIPATED STOCK OFFERING DID NOT OCCUR AND IN 1970 THE COMPANY DECLARED BANKRUPTCY. IN 1974, I WAS CHARGED WITH THE OFFENSES LISTED ABOVE AND PLED NO CONTEST TO ONE COUNT OF MAIL FRAUD AS INDICATED ABOVE.

End of Report



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