

BrokerCheck Report

Valerie Rochelle Little Star Red-Horse Mohl

CRD# 3160944

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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.

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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.](http://www.finra.org)

Valerie R. Red-Horse Mohl

CRD# 3160944

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
- 7 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

- B VANDERBILT SECURITIES, LLC**
CRD# 5953
Sunnyvale, CA
10/2024 - 11/2025
- B KNOWN GROWTH LLC**
CRD# 322351
Sunnyvale, CA
12/2023 - 08/2024
- B INDEPENDENT INVESTMENT BANKERS, CORP.**
CRD# 154134
AUSTIN, TX
11/2020 - 12/2022

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**

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

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

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

Principal/Supervisory Exams

Exam	Category	Date
B Municipal Securities Principal Examination	Series 53	12/23/2002
B General Securities Principal Examination	Series 24	10/11/1999

General Industry/Product Exams

Exam	Category	Date
B Operations Professional Examination	Series 99TO	12/07/2023
B Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B Municipal Securities Representative Examination	Series 52TO	01/02/2023
B Securities Trader Exam	Series 57TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B Limited Representative-Equity Trader Exam	Series 55	01/26/2000
B General Securities Representative Examination	Series 7	01/06/1999

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	11/09/2000
B Uniform Securities Agent State Law Examination	Series 63	04/26/1999

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 10/2024 - 11/2025	VANDERBILT SECURITIES, LLC	5953	Sunnyvale, CA
B 12/2023 - 08/2024	KNOWN GROWTH LLC	322351	Sunnyvale, CA
B 11/2020 - 12/2022	INDEPENDENT INVESTMENT BANKERS, CORP.	154134	AUSTIN, TX
B 02/2011 - 11/2020	WESTERN INTERNATIONAL SECURITIES, INC.	39262	Sunnyvale, CA
B 12/2009 - 02/2011	THE PRINCERIDGE GROUP LLC	149758	LOS ANGELES, CA
B 10/2004 - 12/2009	WESTERN INTERNATIONAL SECURITIES, INC.	39262	HUNTINGTON BEACH, CA
B 03/2002 - 11/2004	RED-HORSE SECURITIES, LLC	104169	BRIDGEWATER, NJ
B 03/2002 - 07/2002	REDWOOD BROKERAGE SERVICES, INC.	39416	NEW YORK, NY
B 02/2001 - 10/2001	NATIVE NATIONS SECURITIES, INC.	334	JERSEY CITY, NJ
B 01/2000 - 03/2001	NATIVE NATIONS SECURITIES, INC.	47478	NEW YORK, NY
B 05/1999 - 03/2000	REDWOOD BROKERAGE SERVICES, INC.	39416	NEW YORK, NY

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
10/2024 - Present	Vanderbilt Financial Group	Registered Representative	Y	Woodbury, NY, United States
12/2004 - Present	The Red-Horse Financial Group, Inc.	Owner / President	N	Sunnyvale, CA, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
11/1996 - Present	Red-Horse Native Productions, Inc.	President	N	Sunnyvale, CA, United States
04/1984 - Present	Executive Specialties	Owner	N	Huntington Beach, CA, United States
05/2023 - 07/2024	Known Growth LLC	Chief Executive Officer	Y	New York, NY, United States
07/2022 - 07/2024	Known Wealth LLC	President	Y	New York, NY, United States
11/2020 - 12/2022	Independent Investment Bankers Corp	Investment Banker	Y	Austin, TX, United States
02/2011 - 10/2020	Western International Securities, Inc.	Registered Representative	Y	Pasadena, CA, 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.

- 1) The Red-Horse Financial Group, Inc. Not investment-related. Start date: 11/01/2004. Address: 530 Pine Avenue, Sunnyvale CA 94085. Title: CEO and Founder. Duties: All securities related business will be processed through Vanderbilt - this OBA is to disclose non securities consulting work that occurs through Red-Horse Financial Group such as review of operations, financial literacy training, managing RFPs for vendors, etc. Time spent during regular hours: 10%.
- 2) Red-Horse Native Productions, Inc.; Non Investment-Related. Start date: 11/01/1994. Address: 530 Pine Avenue, Sunnyvale CA 94085. Title: CEO and Founder. Duties: Non-Investment related film production work such as directing, writing and producing. Time spent during regular hours: 5%.
- 3) Executive Specialties, Inc. Not Investment-Related. Start date: 04/01/1984. Address: 530 Pine Avenue, Sunnyvale CA 94085. Title: Secretary. Duties: I am a director/shareholder (alongside my husband) but I do not actively work in the business. Time spent during regular hours: 0%.
- 4) Known Holdings, LLC. Not investment related. Start date: 07/31/2024. Address: 530 Pine Avenue, Sunnyvale CA 94085. Title: 4% Unit Holder. Duties: There is no activity nor any duties. I am a passive 4% holder of units in this LLC. Time spent during regular hours: 0%.
- 5) Boys and Girls Clubs Native Services. Not Investment-Related. Start date: 06/15/2000. Address: 1275 Peachtree Street, Atlanta, GA 30309. Title: Board Chair. Duties: I am a volunteer on this Board of the organization that is dedicated to serving our Native youth. Time spent during regular hours: 0%.
- 6) New York City Comptroller. Not investment related. Start date: 02/10/2025. Address: 1 Centre Street 8th Floor, New York NY, 10007. Title: DCIO Responsible Investing. Duties: The DCIO???" focused on Responsible Investing, will will lead the Economically Targeted program as well as the Diverse and Emerging Manager program and the broader ESG program, including climate initiatives. This is an administrative position helping to identify managers and opportunities and to make suggestions, but has no trading authority or investment decision making authority as that lies

Registration and Employment History



Other Business Activities, continued

within each of the NYC Pension Funds and their respective Boards of Trustees. Time spent during regular hours: 60%.

7) Christianity Today. Not investment related. Start date: 01/01/2025. Address: P.O. Box 788, Wheaton IL, 60187. Title: Volunteer Board Member for a religious organization Duties: Volunteer Board Member - only 4 meetings per year - in off time hours (weekends). Time spent during regular hours: 0%.

End of Report



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