

BrokerCheck Report

JOHN GODFREY TAFT

CRD# 1007933

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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)

JOHN G. TAFT

CRD# 1007933

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

IA ROBERT W. BAIRD & CO. INCORPORATED
 One Sarasota Tower Two North Tamiami Trail
 Suite 1200
 Sarasota, FL 34236
 CRD# 8158
 Registered with this firm since: 01/29/2018

B ROBERT W. BAIRD & CO. INCORPORATED
 777 EAST WISCONSIN AVE
 MILWAUKEE, WI 53202
 CRD# 8158
 Registered with this firm since: 01/29/2018

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:**

- 4 Self-Regulatory Organizations
- 13 U.S. states and territories

This broker has passed:

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

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

- IA RBC CAPITAL MARKETS, LLC**
 CRD# 31194
 NEW YORK, NY
 03/2007 - 06/2016
- B RBC CAPITAL MARKETS, LLC**
 CRD# 31194
 MINNEAPOLIS, MN
 12/2000 - 06/2016
- B TAMARACK DISTRIBUTORS INC.**
 CRD# 11181
 MINNEAPOLIS, MN
 06/2003 - 03/2006

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 individual is currently registered with 4 SROs and is licensed in 13 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **ROBERT W. BAIRD & CO. INCORPORATED**

Main Office Address: **777 E. WISCONSIN AVENUE
MILWAUKEE, WI 53202**

Firm CRD#: **8158**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	01/29/2018
B	FINRA	General Securities Representative	Approved	01/29/2018
B	FINRA	Investment Banking Representative	Approved	01/29/2018
B	FINRA	Municipal Securities Principal	Approved	02/01/2018
B	FINRA	Municipal Securities Representative	Approved	02/01/2018
B	FINRA	Investment Banking Principal	Approved	10/01/2018
B	NYSE American LLC	General Securities Principal	Approved	01/29/2018
B	NYSE American LLC	General Securities Representative	Approved	01/29/2018
B	NYSE American LLC	Municipal Securities Principal	Approved	02/01/2018
B	NYSE American LLC	Municipal Securities Representative	Approved	02/01/2018
B	Nasdaq Stock Market	General Securities Principal	Approved	01/29/2018
B	Nasdaq Stock Market	General Securities Representative	Approved	01/29/2018
B	New York Stock Exchange	General Securities Principal	Approved	01/29/2018
B	New York Stock Exchange	General Securities Representative	Approved	01/29/2018
B	New York Stock Exchange	Municipal Securities Principal	Approved	02/01/2018



Broker Qualifications

Employment 1 of 1, continued

SRO	Category	Status	Date
B New York Stock Exchange	Municipal Securities Representative	Approved	02/01/2018

U.S. State/ Territory	Category	Status	Date
B Arkansas	Agent	Approved	01/29/2018
B California	Agent	Approved	01/29/2018
B Florida	Agent	Approved	07/26/2024
B Illinois	Agent	Approved	01/29/2018
B Minnesota	Agent	Approved	01/29/2018
IA Minnesota	Investment Adviser Representative	Approved	01/29/2018
B Missouri	Agent	Approved	01/29/2018
B New Hampshire	Agent	Approved	01/29/2018
B New Jersey	Agent	Approved	02/02/2018
B New Mexico	Agent	Approved	01/29/2018
B Ohio	Agent	Approved	01/30/2018
B Rhode Island	Agent	Approved	01/29/2018
B Texas	Agent	Approved	02/02/2018
IA Texas	Investment Adviser Representative	Restricted Approval	01/31/2018
B Wisconsin	Agent	Approved	01/29/2018
IA Wisconsin	Investment Adviser Representative	Approved	01/31/2018

Branch Office Locations

ROBERT W. BAIRD & CO. INCORPORATED
777 EAST WISCONSIN AVE



Broker Qualifications

Employment 1 of 1, continued

MILWAUKEE, WI 53202

ROBERT W. BAIRD & CO. INCORPORATED

One Sarasota Tower Two North Tamiami Trail
Suite 1200
Sarasota, FL 34236

ROBERT W. BAIRD & CO. INCORPORATED

Wayzata, MN

ROBERT W. BAIRD & CO. INCORPORATED

601 CARLSON PARKWAY
SUITE 950
MINNETONKA, MN 55305



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	11/01/1993
B Municipal Securities Principal Examination	Series 53	02/12/1990

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 Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	09/19/1981

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	05/13/1997
B Uniform Securities Agent State Law Examination	Series 63	11/28/1990

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
IA 03/2007 - 06/2016	RBC CAPITAL MARKETS, LLC	31194	MINNEAPOLIS, MN
B 12/2000 - 06/2016	RBC CAPITAL MARKETS, LLC	31194	MINNEAPOLIS, MN
B 06/2003 - 03/2006	TAMARACK DISTRIBUTORS INC.	11181	MINNEAPOLIS, MN
B 09/1997 - 12/2000	DOUGHERTY & COMPANY LLC	7477	MINNEAPOLIS, MN
B 05/1997 - 09/1997	DOUGHERTY DAWKINS LLC	7442	MINNEAPOLIS, MN
B 07/1991 - 05/1997	VOYAGEUR INVESTMENTS, INC.	22544	
B 01/1990 - 07/1991	PIPER, JAFFRAY & HOPWOOD INCORPORATED	665	MINNEAPOLIS, MN
B 10/1981 - 04/1985	PIPER, JAFFRAY & HOPWOOD INCORPORATED	665	

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
01/2018 - Present	Robert W Baird & Co., Incorporated	Vice Chairman	Y	Edina, MN, United States
05/2017 - 01/2018	Deloitte and Touche LLP	Senior Advisor	N	New York, NY, United States
01/2017 - 12/2017	Columbia Threadneedle Funds	Independent Director	Y	Boston, MA, United States
05/2016 - 12/2016	Retired	Retired	N	Minneapolis, MN, United States



Registration and Employment History

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.

Name: Delaney Taft LLC; Not investment-related; Address; 2619 East Lake of the Isles Parkway, Minneapolis, MN 55408; Nature: LLC; Role: Owner; Start Date: 4/2017; Appx hrs: 5 hours/year; Hrs during trading: 5 hours/year; Duties: Delaney Taft is a single-member pass-through LLC originally created to receive Board fees, speaking fees and consulting fees received during a period when I was self employed. It will continue to receive any income received from outside business activities pre-approved by Baird.

Name: Andy Warhol Foundation for the Visual Arts

Investment-related

Address: 65 Bleeker St, NY, NY 10012

Role: Investment Committee Member

Start Date: 11/2015

Appx 1hr/month year; Hrs during trading: 0/year

Duties: Investment Committee overseeing outside investment advisor. Oversight of management of the foundation's investment portfolio.

Name/Address: The Minneapolis Foundation, Minneapolis MN 55402

Start date: 11/2016 Hours spent: 0-5 hours/month

Hours spent during trading hours: 0-5 hours/month

Role/Responsibility: Investment/Finance Committee / Chairman of the Board

Investment related

End of Report



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