

## BrokerCheck Report

**ALISON BELL FOLEY**

CRD# 5439487

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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).

**ALISON B. FOLEY**

CRD# 5439487

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

**IA DAVENPORT & COMPANY LLC**  
 5400 DISCOVERY PARK BLVD  
 SUITE 301  
 WILLIAMSBURG, VA 23188  
 CRD# 1588  
 Registered with this firm since: 06/05/2008

**B DAVENPORT & COMPANY LLC**  
 5400 DISCOVERY PARK BLVD  
 SUITE 301  
 WILLIAMSBURG, VA 23188-2882  
 CRD# 1588  
 Registered with this firm since: 04/02/2008

**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
- 19 U.S. states and territories

**This broker has passed:**

- 0 Principal/Supervisory Exams
- 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? **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 19 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **DAVENPORT & COMPANY LLC**

Main Office Address: **ONE JAMES CENTER  
901 E. CARY STREET  
RICHMOND, VA 23219**

Firm CRD#: **1588**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	04/02/2008
B	NYSE American LLC	General Securities Representative	Approved	04/02/2008
B	Nasdaq Stock Market	General Securities Representative	Approved	04/02/2008
B	New York Stock Exchange	General Securities Representative	Approved	04/02/2008

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	01/02/2020
B	Arizona	Agent	Approved	12/02/2016
B	California	Agent	Approved	01/02/2020
B	Colorado	Agent	Approved	01/24/2012
B	Florida	Agent	Approved	01/13/2012
B	Illinois	Agent	Approved	12/03/2012
B	Indiana	Agent	Approved	10/30/2014
B	Maryland	Agent	Approved	01/13/2012
B	Missouri	Agent	Approved	10/30/2014

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New Jersey	Agent	Approved	01/13/2012
B	New Mexico	Agent	Approved	12/03/2012
B	New York	Agent	Approved	01/13/2012
B	North Carolina	Agent	Approved	01/13/2012
B	Ohio	Agent	Approved	12/03/2012
B	Pennsylvania	Agent	Approved	12/05/2012
B	South Carolina	Agent	Approved	05/29/2015
B	Tennessee	Agent	Approved	01/02/2020
B	Texas	Agent	Approved	01/13/2012
IA	Texas	Investment Adviser Representative	Restricted Approval	11/07/2023
B	Virginia	Agent	Approved	06/05/2008
IA	Virginia	Investment Adviser Representative	Approved	06/05/2008

### Branch Office Locations

**DAVENPORT & COMPANY LLC**  
 5400 DISCOVERY PARK BLVD  
 SUITE 301  
 WILLIAMSBURG, VA 23188-2882



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

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	04/01/2008

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	06/04/2008

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/](http://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
10/2007 - Present	DAVENPORT AND COMPANY	SALES ASSISTANT	Y	NEWPORT NEWS, VA, 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) NAME: COLONIAL CONNECTIONS NETWORKING GROUP - PROFESSIONAL NETWORKING GROUP, TREASURER - WILLIAMSBURG, VA - 01/01/15 - 0 HOURS/MONTH DURING NON-BUSINESS HOURS, 1 TO 5 HOURS/MONTH DURING TRADING HOURS - DEPOSIT FUNDS RECEIVED FROM MEMBERS, ISSUES CHECKS TO REIMBURSE MEMBER EXPENSES, MAINTAIN AND SETTLE MONTHLY BANK STATEMENTS, REPORT BALANCES AND ACTIVITY AT EACH MEETING, MAINTAIN CURRENT SIGNATURE CARDS WHEN THERE IS A CHANGE OF OFFICERS

2) Williamsburg United Methodist Church - Endowment Committee Member-stewards generosity to meet innovative and missional needs that need special funding in the congregation and community. Meets quarterly in the evenings. Approximate number of hours/month you devote to this outside activity during business hours: 0. Approximate number of hours/month you devote to this outside activity during non-business hours: 1-5

3) Bernadine Drive Newport News, VA 23602- Investment related- to promote Gospel social principals particularly on behalf of the poor and powerless, while maintaining a secure financial base for the Foundation. Vice Chair - Finance Committee - Assist Chair with duties as needed regarding quarterly meetings and preparation for larger Board meetings. Quarterly meetings to review and, with the help of BSFS's Investment Management Consultant (current financial advisor), apprise the Board of Directors regarding asset allocation, overall performance, and the Foundation's restricted securities list. If requested, the Finance Committee will also perform due diligence on the Investment Management Consultant and go through the RFP process. Approximate number of hours/month you devote to this outside activity during business hours: 1 - 5 Hours. Approximate number of hours/month you devote to this outside activity during non-business hours: 1 - 5 Hours.

4) Peake Childhood Center - Investment related 1306 Thomas St. Hampton, VA 23669 -a NAEYC - Vice Chair of the Board of Directors -



## Registration and Employment History



### Other Business Activities, continued

accredited, nonprofit early childhood education center serving children from all backgrounds, incomes, and abilities. The Vice Chair serves on the Board's executive committee and on Peake's Board of Directors. This role transitions into the Chair role after 1-2 years of service. The Vice Chair also serves as the Governance Committee Chair. Works with Governance committee members to recruit new members to the Board, review skill sets and placements of each Board member, help train Board members to be effective in their roles, and review bylaws and other documents as necessary for the organization. Approximate number of hours/month you devote to this outside activity during business hours: 1 - 5 Hours. Approximate number of hours/month you devote to this outside activity during non-business hours: 5 -10 hours.

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## End of Report



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