

BrokerCheck Report

JAMES CODY TAFEL

CRD# 7220271

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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.



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)

Thank you for using FINRA BrokerCheck.

JAMES C. TAFEL

CRD# 7220271

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

B FUNDS DISTRIBUTOR, LLC
 6641 West Broad Street
 Suite 600
 RICHMOND, VA 23230
 CRD# 7174
 Registered with this firm since: 03/03/2020

IA THOMPSON SIEGEL & WALMSLEY LLC
 6641 WEST BROAD STREET
 SUITE 600
 RICHMOND, VA 23230
 CRD# 105726
 Registered with this firm since: 06/11/2020

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
- 16 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 1 SRO and is licensed in 16 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **FUNDS DISTRIBUTOR, LLC**

Main Office Address: **THREE CANAL PLAZA
3RD FLOOR
PORTLAND, ME 04101**

Firm CRD#: **7174**

SRO	Category	Status	Date
B FINRA	General Securities Representative	APPROVED	03/03/2020

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	APPROVED	07/01/2020
B Colorado	Agent	APPROVED	07/01/2020
B District of Columbia	Agent	APPROVED	07/01/2020
B Florida	Agent	APPROVED	07/01/2020
B Georgia	Agent	APPROVED	07/01/2020
B Hawaii	Agent	APPROVED	01/05/2021
B Kentucky	Agent	APPROVED	07/01/2020
B Maryland	Agent	APPROVED	07/01/2020
B Massachusetts	Agent	APPROVED	07/01/2020
B New Jersey	Agent	APPROVED	06/25/2021
B New York	Agent	APPROVED	07/01/2020
B North Carolina	Agent	APPROVED	07/01/2020



Broker Qualifications

Employment 1 of 2, continued

U.S. State/ Territory	Category	Status	Date
B Ohio	Agent	APPROVED	07/01/2020
B Pennsylvania	Agent	APPROVED	10/15/2020
B Texas	Agent	APPROVED	07/01/2020
B Virginia	Agent	APPROVED	07/01/2020

Branch Office Locations

FUNDS DISTRIBUTOR, LLC

6641 West Broad Street
Suite 600
RICHMOND, VA 23230

Employment 2 of 2

Firm Name: **THOMPSON SIEGEL & WALMSLEY LLC**
Main Office Address: **6641 WEST BROAD STREET**
SUITE 600
RICHMOND, VA 23230
Firm CRD#: **105726**

U.S. State/ Territory	Category	Status	Date
IA Virginia	Investment Adviser Representative	APPROVED	06/11/2020

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.



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.

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 General Securities Representative Examination	Series 7TO	03/03/2020
B Securities Industry Essentials Examination	SIE	02/10/2020

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	06/11/2020

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
01/2020 - Present	Funds Distributor, LLC	Registered Representative	Y	Richmond, VA, United States
01/2020 - Present	Thompson, Siegel & Walmsley LLC	Investment Strategist	Y	Richmond, VA, United States
05/2006 - 12/2019	Thompson, Siegel & Walmsley LLC	Senior Equity Trader	Y	Richmond, 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) Thompson, Siegel & Walmsley LLC; Richmond, VA; Investment Related; Began 05/31/2006; Investment Management; Investment Strategist; Investment Strategy, Asset Allocation, and Business Development; 180 hour per month.

2) Funds Distributor LLC; Investment Related; 3 Canal Plaza, Suite 100, Portland, ME 04101, FINRA Registered Broker Dealer; Licensed Representative; 1/2020, Approx. 4 hrs/month; All during securities trading hours, Securities sales.

3) CMT Association- Richmond Chapter; Investment Related; Professional Organization; New York, NY; Start 06/2020; Richmond Chapter Chair, Leadership & Development Committee Member; Host meetings or webinars; 2 hours per month.

4) CAIA Association- Washington DC Chapter; Non-Investment Related; Professional Organization; Amherst, MA; Start 05/2019; DC Chapter Executive Committee; Host meetings and webinars; 1 hour per month.

5) University of Richmond-Student Managed Investment Fund Advisory Board; Non-Investment Related; Education; University of Richmond, VA; Start 08/2009; Advisory Board Member, 1 hour per month.

Registration and Employment History



Other Business Activities, continued

6) Piney Island Corporation; Non-Investment Related; Hunting Club; Poplar Branch, NC; Start 10/2016; Member/Secretary; 1 hour per month.

End of Report



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