

## BrokerCheck Report

### JAMES CODY TAFEL

CRD# 7220271

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

## 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](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)

**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>B</b> FINRA	General Securities Representative	APPROVED	03/03/2020

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



## Broker Qualifications

### Employment 1 of 2, continued

U.S. State/ Territory	Category	Status	Date
<b>B</b> Ohio	Agent	APPROVED	07/01/2020
<b>B</b> Pennsylvania	Agent	APPROVED	10/15/2020
<b>B</b> Texas	Agent	APPROVED	07/01/2020
<b>B</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
<b>IA</b> 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>B</b> General Securities Representative Examination	Series 7TO	03/03/2020
<b>B</b> Securities Industry Essentials Examination	SIE	02/10/2020

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> 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/](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
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.

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## End of Report



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