



Summary of Qualifications
Thomas G. Taliaferro, CIMA
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Summary: Financial advisor/portfolio manager with over 30 years' professional experience including serving as Senior Vice President for both Morgan Stanley and Wells Fargo Advisors. Highly experienced with high net-worth and ultra-high-net worth clients. Extensive supervisory experience including managing 55 other financial advisors with in excess of \$4 billion of assets under management. Experience with numerous financial advisor employment issues at broker/dealers including: compensation, hiring, employability, termination, complaints, portability of accounts, non-competes and discipline. Spotless compliance record. Accomplished public speaker.

PROFESSIONAL EXPERIENCE:

Wells Fargo Advisors (2009-2016)

Senior Vice President

Senior Financial Advisor

Portfolio Manager

I was recruited to work specifically in the Montecito branch office in Santa Barbara. This is one of the wealthiest zip codes in the United States and I've had the opportunity of working with many ultra-high-net-worth clients with very complex financial planning and investment requirements, managing in excess of \$200,000,000. I was the only financial advisor in the region with the Portfolio Manager designation, which allowed me fiduciary discretion on trading client accounts. I was also appointed as the Regional Capital Markets coordinator, responsible for overseeing aspects of syndicate distribution, including suitability and allocation issues.

Morgan Stanley (1985-2009)

Senior Vice President

Senior Financial Advisor

Branch Complex Manager

After nine years as a financial advisor working with high net-worth clients, I was appointed as the manager of the Santa Barbara, CA branch complex. I managed as many as 55 financial advisors and 35 staff members in four offices with assets under management of more than four billion dollars. During my tenure, the complex was ranked second of fifty-four complexes in Southern California according to the multifaceted grading system of the firm, which included production, employee retention, compliance and profitability.

COMPLIANCE RECORD:

In more than thirty years as a financial advisor and branch manager I have a spotless compliance record with no adverse notations on my FINRA Central Registration Depository history.

LICENSES:

Series 7—General Securities License--1985

Series 3—National Commodities Futures License--1986

Series 63—Uniform Securities Agent--1986

Series 65—Uniform Investment Advisor--1995

Series 8—General Securities Sales Supervisor and Options Principal—1993

PROFESSIONAL DESIGNATIONS:

Wharton School Executive Education:

➤ *CIMA - Certified Investment Management Analyst*

This designation is awarded after a two-year course of study which is designed to provide expertise in the area of Modern Portfolio Theory and its application to asset allocation for individual and institutional investors.

➤ *Senior Financial Advisor*

This designation provides training in working with wealthy investors including all aspects of financial planning and portfolio management.

➤ *Senior Branch Manager*

This designation delivers brokerage branch managers the tools to successfully manage a branch office. It includes best practice guidelines for hiring and training new financial advisors and staff, oversight and compliance, HR and disciplinary matters and running a profitable branch office.

FINRA - Financial Industry Regulatory Authority:

➤ *Arbitrator*

IMCA - Investment Management Consultants Association:

➤ *Certificant – Fiduciary Best Practices*

Affiliations:

Investment Management Consultant's Association

Toastmasters International

Ocean Cruising Club - Port Officer

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