



IAPD Report

Bradford J Tallman

CRD# 1856635

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Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

Bradford J Tallman (CRD# 1856635)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **05/29/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	03/08/1990
IA	EDWARD JONES	CRD# 250	02/13/2007

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **49** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN	07/19/1988 - 03/08/1990
B	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN	07/19/1988 - 03/08/1990

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Criminal	1
Customer Dispute	3



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **49** jurisdiction(s) and 4 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **EDWARD JONES**
Main Address: 12555 MANCHESTER RD
ST. LOUIS, MO 63131
Firm ID#: 250

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	03/08/1990
B	NYSE American LLC	General Securities Representative	Approved	09/13/2011
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	03/08/1990
B	Alabama	Agent	Approved	01/20/2005
B	Alaska	Agent	Approved	01/19/2022
B	Arizona	Agent	Approved	06/10/1999
B	California	Agent	Approved	03/22/2000
B	Colorado	Agent	Approved	03/22/1996
B	Connecticut	Agent	Approved	09/16/1996
B	Delaware	Agent	Approved	02/09/2005
B	Florida	Agent	Approved	03/14/1990
IA	Florida	Investment Adviser Representative	Approved	02/13/2007



Qualifications

	Regulator	Registration	Status	Date
B	Georgia	Agent	Approved	12/05/1996
B	Hawaii	Agent	Approved	08/17/2009
B	Idaho	Agent	Approved	01/04/2005
B	Illinois	Agent	Approved	10/28/1999
B	Indiana	Agent	Approved	05/09/2000
B	Iowa	Agent	Approved	10/12/2005
B	Kansas	Agent	Approved	07/25/2022
B	Kentucky	Agent	Approved	09/21/1999
B	Louisiana	Agent	Approved	10/15/2003
B	Maine	Agent	Approved	10/31/2002
B	Maryland	Agent	Approved	09/21/1999
B	Massachusetts	Agent	Approved	06/11/1997
B	Michigan	Agent	Approved	09/18/1998
B	Minnesota	Agent	Approved	02/15/2012
B	Mississippi	Agent	Approved	01/04/2001
B	Missouri	Agent	Approved	06/10/1997
B	Montana	Agent	Approved	08/14/2009
B	Nebraska	Agent	Approved	12/05/2013
B	Nevada	Agent	Approved	02/20/2007



Qualifications

Regulator	Registration	Status	Date
B New Hampshire	Agent	Approved	09/20/2005
B New Jersey	Agent	Approved	06/08/1999
B New Mexico	Agent	Approved	02/15/2018
B New York	Agent	Approved	06/12/1996
B North Carolina	Agent	Approved	05/05/1999
B North Dakota	Agent	Approved	06/04/2019
B Ohio	Agent	Approved	10/21/1998
B Oklahoma	Agent	Approved	10/14/2005
B Oregon	Agent	Approved	07/17/2012
B Pennsylvania	Agent	Approved	09/10/1996
B Rhode Island	Agent	Approved	10/31/2007
B South Carolina	Agent	Approved	10/15/1996
B South Dakota	Agent	Approved	10/19/2018
B Tennessee	Agent	Approved	09/22/1999
B Texas	Agent	Approved	01/28/2009
IA Texas	Investment Adviser Representative	Restricted Approval	08/20/2014
B Utah	Agent	Approved	09/13/2023
B Vermont	Agent	Approved	08/08/2007



Qualifications

Regulator	Registration	Status	Date
B Virginia	Agent	Approved	10/08/1999
B Washington	Agent	Approved	05/14/2007
B West Virginia	Agent	Approved	06/23/2014
B Wisconsin	Agent	Approved	03/16/2007
B Wyoming	Agent	Approved	02/22/2000

Branch Office Locations

EDWARD JONES
2580 S VOLUSIA AVE STE 101
ORANGE CITY, FL 32763



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	07/16/1988
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	02/01/2007
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Uniform Securities Agent State Law Examination (S63)	Series 63	07/22/1988
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	07/19/1988 - 03/08/1990	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	07/19/1988 - 03/08/1990	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/1990 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	DELTONA, FL, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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.

Geteway Association
Orange City, FL
Start date: 7/1/2005
President

Hours per week: 0
Hours during trading: 0
Management of condo association. Manage property landscaping, lighting, sewage. complete accounting and tax data.

SAPPHO LLC
Type of business: COMMERCIAL REAL ESTATE
Orange City, FL
Start date: 8/1/2004
MANAGING PARTNER
Hours per week: 2
Hours during trading: 2
RESPONSIBLE FOR MANAGING ALL ASPECTS OF RENTAL PROPERTY



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Criminal	1
Customer Dispute	3

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	STATE OF FLORIDA V BRADFORD JAMES TALLMAN CR 95-13580
Charge Date:	03/25/1997
Charge Details:	ON DECEMBER 10 1994, MR. TALLMAN DID, IN VIOLATION OF FLORIDA STATUE 784.021(1)(a), MAKE AN ASSAULT UPON CARMEN TIRELLA, WITH A BLUNT INSTRUMENT, A DEADLY WEAPON, AND IN FUTHERANCE OF SAID ASSAULT MR. TALLMAN DID INTENTIONALLY THREATEN TO DO VIOLENCE TO CARMEN TIRELLA WITH SAID BLUNT INSTRUMENT THUS CREATING A WELL FOUNDED FEAR IN CARMEN TIRELLA THAT SUCH VIOLENCE WAS IMMINENT. HOWEVER, MR. TALLMAN WAS NOT ARRESTED UNTIL FEBRUARY 14, 1997 WHEN HE HAD REPORTED HIS CARE STOLEN AND WAS ADVISED THAT THERE WAS A WARRANT OUT FOR HIS ARREST
Felony?	Yes
Current Status:	Final
Status Date:	04/16/1998
Disposition Details:	IR COMPLETED NINE MONTH PRETRIAL INTERVENTION PROGRAM CONSISTING OF PAYING ALL MONETARY OBLIGATION IN FULL, COUNSELING FOR ANGER MANAGEMENT, AND 112 HOURS OF COMMUNITY SERVICE WORK AT THE YMCA. IT WAS RECOMMENED THAT ALL CHARGES BE DISMISSED. ATTACHED IS A COPY OF THE LETTER FROM THE FLORIDA DEPARTMENT OF CORRECTIONS AND THE NOLLE PROSEQUI DOCUMENT FILED WITH THE COURT, DECLINING FURTHER PROSECUTION. FINAL DOCUMENTATION WAS RECEIVED BY THE COMPLIANCE DEPARTMENT ON



7/2/98.

Broker Statement

Not Provided



Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	CLIENT ALLEGES SHE INCURRED AN UNWANTED AND UNANTICIPATED TAX LIABILITY WITH THE 2011 LIQUIDATION OF AN ANNUITY.
Product Type:	Annuity-Fixed
Alleged Damages:	\$13,456.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	07/07/2014
Complaint Pending?	No
Status:	Settled
Status Date:	08/29/2014
Settlement Amount:	\$3,170.00
Individual Contribution Amount:	\$0.00
Broker Statement	BASED ON THE FIRM'S INVESTIGATION, THIS MATTER WAS SETTLED IN THE AMOUNT OF \$3,170.00. THE FINANCIAL ADVISOR WAS NOT REQUIRED TO CONTRIBUTE TO THE SETTLEMENT.

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	00/2006-11/2008; THE CLIENT STATES THAT THREE YEARS AGO SHE TRANSFERRED HER ACCOUNTS TO EDWARD JONES TOTALING OVER \$100,000 AND AT ONE POINT WERE VALUED AT \$170,000. THE NEXT COUPLE OF STATEMENTS SHOWED A VALUE OF \$138,000 AND THE CLIENT CLAIMS SHE CONTACTED THE FA ABOUT CHANGING INVESTMENTS AND CLAIMS THE FA TOLD HER TO DESTROY THE STATEMENTS. THE CLIENT STATES IN NOVEMBER 2008 SHE HAD HER INVESTMENTS CHANGED AS THE CLIENT CLAIMS SHE BELIEVED THE INVESTMENTS WERE TOO



AGGRESSIVE. THE CLIENT CLAIMS THE INVESTMENTS WERE MOVED TO HARTFORD AND SHE STATES THAT SHE COULD NOT GET ANY INFORMATION ON THE INVESTMENTS THROUGH HARTFORD UNTIL OWNERSHIP WAS CHANGED. FILING REQUIRED. CLAIMED LOSSES IN EXCESS OF \$5,000.

Product Type: Other: MJSCCELLANEOUS

Alleged Damages: \$5,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 05/20/2009

Complaint Pending? No

Status: Denied

Status Date: 07/14/2009

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

THE FA STATED THAT THE CLIENT AND HE COMMUNICATED ON A REGULAR BASIS REGARDING HER ACCOUNTS AND HE BELIEVED THE CLIENT SEEMED SATISFIED WITH HER INVESTMENTS. THE FA STATED THAT HE MET WITH THE CLIENT AS THE MARKET BEGAN TO DECLINE. THE CLIENT EXPRESSED CONCERN AND STATED SHE NO LONGER WANTED TO OWN INDIVIDUAL STOCKS OR STOCK MUTUAL FUNDS. AT THE CLIENT'S DIRECTION INVESTMENTS WERE SOLD IN 11/08 AND PROCEEDS WERE REINVESTED IN CDS AND FIXED ANNUITIES. THE ANNUITIES WERE PURCHASED IN THE CLIENT'S SELF DIRECTED IRA ACCOUNT. THE FA STATED THAT ACCORDING TO HIS CONTACT WITH HARTFORD, THE CLIENT COULD AT ANY TIME CONTACT HARTFORD AND RECEIVE INFORMATION REGARDING THE ANNUITIES. IT WAS ALSO EXPLAINED TO THE CLIENT THAT HER FRUSTRATION WAS UNDERSTANDABLE REGARDING THE DECLINE IN VALUE, HOWEVER, IT WAS ATTRIBUTABLE TO MARKET CONDITIONS AND FLUCTUATION WHICH ARE RISKS ASSOCIATED WITH INVESTING. IT APPEARS AS THE FA MET ON A REGULAR BASIS WITH THE CLIENT AND CONTINUED TO OFFER GUIDANCE AND ADVICE TO HELP THE CLIENT ACHIEVE HER GOALS AND OBJECTIVES.

Disclosure 3 of 3

Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:** EDWARD JONES

Allegations: THE CLIENT EXPRESSED CONCERN WITH THE LOSSES INCURRED ON HIS PUTNAM FUNDS OVER THE YEARS. THE CLIENT PURCHASED NUMEROUS PUTNAM FUNDS IN HIS ACCOUNTS IN THE EARLY 1990'S AND WAS DISSATISFIED WITH THEIR PERFORMANCE. THE CLIENT ALLEGED THAT HIS RETIREMENT ACCOUNTS LOST ALMOST \$100,000, OR APPROXIMATELY



50% OF THEIR SAVINGS. CLIENT ALSO ALLEGED THAT IR FAILED TO REDIRECT FUNDS AS PROMISED, AND THAT IR GAVE VERY LITTLE ATTENTION TO CLIENTS' ACCOUNTS.

Product Type: Mutual Fund(s)
Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 11/27/2003
Complaint Pending? No
Status: Denied
Status Date: 01/28/2004

Settlement Amount:

Individual Contribution Amount:

Broker Statement

THE CLIENT INITIALLY PURCHASED THE PUTNAM FUNDS IN 1992, AND ADDED TO THEM IN 1996. OVER THE YEARS, THERE WERE NUMEROUS EXCHANGES MADE AMONG THE FUND FAMILIES AS THE MARKET AND CIRCUMSTANCES DICTATED. IR HAD FREQUENT PORTFOLIO REVIEWS WITH CLIENT, AND FOLLOWED CLIENT'S INSTRUCTIONS ON THESE EXCHANGES. ON APRIL 8, 2002, THERE WERE SALES OF OVER \$57,000 OF PUTNAM FUNDS IN TWO OF CLIENT'S ACCOUNTS. THE PROCEEDS WERE USED TO PURCHASE VARIOUS FIXED INCOME INVESTMENTS, AS WELL AS AMERICAN FUND MUTUAL FUNDS. THE CLIENT REQUESTED THAT ALL OF HIS MUTUAL FUNDS BE SOLD ON MARCH 3, 2003, AND THEN INDICATED TO THE IR IN AUGUST 2003, THAT HIS PORTFOLIO HAD NOT INCREASED IN VALUE. CERTAINLY, IF CLIENT REMAINED INVESTED IN THE FOUR AMERICAN FUNDS THROUGHOUT 2003, CLIENT WOULD HAVE GREATLY INCREASED THE VALUE OF HIS PORTFOLIO. THE CLIENT WAS WELL DIVERSIFIED AMONG BONDS, GOVERNMENT AGENCY NOTES, STOCKS AND MUTUAL FUNDS AMONG HIS THREE ACCOUNTS. THERE WAS NO EVIDENCE THAT IR FAILED TO FOLLOW CLIENT'S INSTRUCTIONS ON THESE ACCOUNTS. AS FOR CLIENT'S CLAIM OF SHARING FINANCIAL INFORMATION WITH A THIRD PARTY, IT WAS REQUESTED THAT CLIENT BE MORE SPECIFIC REGARDING HIS CONCERNS, AND THE FIRM WOULD INVESTIGATE THIS FURTHER WITH IR. CLAIM DENIED.



End of Report

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