



## IAPD Report

# EDWARD GEORGE KAUFMAN

CRD# 2774733

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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

### EDWARD GEORGE KAUFMAN (CRD# 2774733)

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 **03/11/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	DAVENPORT & COMPANY LLC	CRD# 1588	06/24/2021
<b>IA</b>	DAVENPORT & COMPANY LLC	CRD# 1588	06/24/2021

### QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **21** 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>IA</b>	TRUIST ADVISORY SERVICES, INC.	283390	ATLANTA, GA	02/17/2021 - 06/24/2021
<b>B</b>	TRUIST INVESTMENT SERVICES, INC.	17499	VIRGINIA BEACH, VA	02/17/2021 - 06/24/2021
<b>B</b>	BB&T SECURITIES, LLC	142785	RICHMOND, VA	01/02/2013 - 02/17/2021

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
Customer Dispute	1



## 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 **21** jurisdiction(s) and 4 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **DAVENPORT & COMPANY LLC**  
Main Address: ONE JAMES CENTER  
901 EAST CARY STREET, SUITE 1100  
RICHMOND, VA 23219  
Firm ID#: 1588

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	06/24/2021
<b>B</b> NYSE American LLC	General Securities Representative	Approved	06/24/2021
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	06/24/2021
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	06/24/2021
<b>B</b> Alabama	Agent	Approved	01/16/2026
<b>B</b> Arizona	Agent	Approved	03/29/2023
<b>B</b> California	Agent	Approved	06/24/2021
<b>B</b> District of Columbia	Agent	Approved	06/24/2021
<b>B</b> Florida	Agent	Approved	06/24/2021
<b>B</b> Kentucky	Agent	Approved	06/24/2021
<b>B</b> Maine	Agent	Approved	12/10/2024
<b>B</b> Maryland	Agent	Approved	06/24/2021
<b>B</b> Michigan	Agent	Approved	06/24/2021



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Minnesota	Agent	Approved	10/07/2025
<b>B</b> Missouri	Agent	Approved	06/24/2021
<b>B</b> New Jersey	Agent	Approved	08/13/2021
<b>B</b> New York	Agent	Approved	06/24/2021
<b>B</b> North Carolina	Agent	Approved	06/24/2021
<b>B</b> Oregon	Agent	Approved	06/24/2021
<b>B</b> Pennsylvania	Agent	Approved	06/24/2021
<b>B</b> South Carolina	Agent	Approved	06/24/2021
<b>B</b> Tennessee	Agent	Approved	01/20/2026
<b>IA</b> Texas	Investment Adviser Representative	Approved	06/24/2021
<b>B</b> Texas	Agent	Approved	05/03/2023
<b>B</b> Utah	Agent	Approved	06/24/2021
<b>B</b> Virginia	Agent	Approved	06/24/2021
<b>IA</b> Virginia	Investment Adviser Representative	Approved	06/24/2021

### Branch Office Locations

**DAVENPORT & COMPANY LLC**  
HIGHWOODS CENTRE  
477 VIKING DRIVE SUITE 200  
VIRGINIA BEACH, VA 23452

**DAVENPORT & COMPANY LLC**  
VIRGINIA BEACH, VA



## 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, 3 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
 Futures Managed Funds Examination (S31)	Series 31	10/18/2002
 General Securities Representative Examination (S7)	Series 7	08/13/1996

#### State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	08/29/1996
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/19/1996

### 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
IA	02/17/2021 - 06/24/2021	TRUIST ADVISORY SERVICES, INC.	CRD# 283390	ATLANTA, GA
B	02/17/2021 - 06/24/2021	TRUIST INVESTMENT SERVICES, INC.	CRD# 17499	VIRGINIA BEACH, VA
B	01/02/2013 - 02/17/2021	BB&T SECURITIES, LLC	CRD# 142785	RICHMOND, VA
IA	01/02/2013 - 02/17/2021	BB&T SECURITIES, LLC	CRD# 142785	RICHMOND, VA
B	05/05/1999 - 01/02/2013	SCOTT & STRINGFELLOW, LLC	CRD# 6255	NORFOLK, VA
IA	08/30/1996 - 01/02/2013	SCOTT & STRINGFELLOW, LLC	CRD# 6255	NORFOLK, VA
B	08/14/1996 - 05/05/1999	SCOTT & STRINGFELLOW, INC.	CRD# 3309	RICHMOND, VA

#### 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
06/2021 - Present	Davenport & Company LLC	SVP, Investments	Y	Virginia Beach, VA, United States
02/2021 - 06/2021	TRUIST ADVISORY SERVICES, INC.	Mass Transfer	Y	ATLANTA, GA, United States
02/2021 - 06/2021	TRUIST INVESTMENT SERVICES, INC.	Mass Transfer	Y	VIRGINIA BEACH, VA, United States
12/2020 - 06/2021	BB&T SECURITIES	FINANCIAL ADVISOR	Y	VIRGINIA BEACH, VA, United States
05/1999 - 06/2021	SCOTT & STRINGFELLOW, INC.	OTHER - Representative	Y	NORFOLK, VA, United States
05/1996 - 06/2021	#IA SCOTT & STRINGFELLOW INC.	NOT PROVIDED	N	NORFOLK, VA, United States
01/2013 - 12/2020	BB&T SECURITIES, LLC	Mass Transfer	Y	NORFOLK, VA, United States



## Registration & Employment History



### 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.

ENVEST VENTURES I, III LLC CO-ENVEST I; VENTURECAP; INV.RELATED TIDEWATERPROSPORTS WHRO TV & RADIO - PLANNED GIVING COMMITTEE MEMBER, NOT INV RELATED, NOT PUBLICLY TRADED, 5200 HAMPTON BLVD NORFOLK, VA 23508, NON-PROFIT FUNDRAISING, START 6/10/08, APPROX 1 HR PER MO, NO COMPENSATION. - DOMINION INVESTORS, LP: START JAN 2016, INV RELATED, NOT PUBLICLY TRADED, 101 W MAIN ST STE 480 NORFOLK VA 23510 - THE JEWISH NEWS POSITION: Contributing Columnist NATURE: Local journal reporting news of the SE Hampton Rds-- Jewish Community INV RELATED: No -HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 05/15/1986 -5000 Corporate Woods Drive, Ste 200, Virginia Beach VA 23462 - -CLK TRUST POSITION: Trustee/Beneficiary to family trust INV RELATED: Yes -HOURS: 1 SECURITIES TRADING HOURS: -1 START DATE: 11/14/1997 ADDRESS: 2101 Parks Avenue, Ste 401, Virginia Beach VA 23451 -- ARBOR APARTMENTS POSITION: Director . Real Estate Mgmt & ownership INV RELATED: No HOURS: -1 SECURITIES TRADING HOURS: 0 START 11/01/2001-101 W. Main Street, Ste 480, Norfolk VA 23510 GMK APARTS INC. POSITION: Vice President NATURE: Real Estate Mgmt & Ownership INV RELATED: No- HOURS: -1 SECURITIES TRADING HOURS: -1 START 11/01/2001 ADDRESS: 101 W Main St, Ste 480, Norfolk VA 23510. KAUFMAN FOUNDATION FOR HEART FAILURE POSITION: Director NATURE: Private Foundation funding The Kaufman Center ofr Hert Failure at the Cleveland Clinic - See money for new Heart treatments INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 11/01/2001 ADDRESS: 101 W Main St, Ste 480, Norfolk VA 23510. KAUFMAN AMERICANA FOUNDATION POSITION: VP, Director NATURE: Private family foundation promoting the appreciation of the American Funture, Art & Antiques INVESTMENT RELATED: No NUMBER OF HOURS: -1 SECURITIES TRADING HOURS: 0 START DATE: 11/01/2001 ADDRESS: 101 W. Main St, Ste 480, Norfolk VA 23510. KAUFMAN FOUNDATION POSITION: Director NATURE: Private Philanthropic Family Foundation INV RELATED: No -HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 11/01/2001 -101 W Main St, Ste 480, Norfolk VA 23510. GMK MARITAL TR & GMK IRREV TRUST POSITION: Trustee - Trusts created to take care of my mother & her grandchildren following death of her husband INV RELATED: Yes - HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 11/01/2001 101 W Main Street, Ste 480, Norfolk VA 23510. 536 WARREN CRESCENT POSITION: Co-owner - Income producing Real Estate of a 1 Bedroom condo INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 03/10/2001.OHEF SHALOM TEMPLE POSITION: Past President - Oversing & operating a 700 Family Reform Jewish congregation along with Fiscal & Moral guidelines as setup out in the constitution bylaws of the organization INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 2 START DATE: 06/01/1995 ADDRESS: 530 Raleigh Ave, Norfolk VA 23507 - FANNIE BROH TRUST POSITION: Trustee NATURE: Trustee/Beneficiary to family Irrev Trust Goldman Sachs also has Broh Trust Account INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: -1 START DATE: 12/31/2008 ADDRESS: 101 W. Main St, Suite 480, Norfolk VA 23510 DOMINION INVESTORS, LP POSITION: Limited Partner NATURE: Family limited partnership of my sister and myself to invest proceeds for co-ownership & mutual benefits. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 03/12/1981-101 W. Main St, Ste 480, Norfolk VA 23510-Ohef Sholom Foundation - Planned Giving arm of a religious institution.- Board Member - investment related - Fundraising for Planned Giving bequests of a 700 family Reform Jewish synagogue -Integrity Bank for Business- Local banking organization - Leadership Board Member -Advise bank of local lending and deposit opportunities - Virginia Investors - Inv related, Trustee, Chesapeake, VA-Private Family Office, involved in running 2 apt complexes, financial services for 15 family members, 4 foundations& accounting - Hours 1-5



## 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
Customer Dispute	1

### 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 1

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** BB&T SECURITIES, LLC

**Allegations:** The client stated, the FA traded inappropriately during early 2020. He was instructed to be a fiduciary trader and instructed to trade conservatively. The FA sold items when the market was low and put the client into stocks that were inappropriate without consultation. Additionally, the client stated, stocks were not appropriate for the client's risk tolerance and excessive trading lead to high fees.

**Product Type:** Equity Listed (Common & Preferred Stock)  
Other: Managed Account - All assets were managed under an investment advisory program. Transactions were not subject to commissions.

**Alleged Damages:** \$69,000.00

**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:** 04/20/2023

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 05/22/2023



**Settlement Amount:**

**Individual Contribution Amount:**  
.....

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** BB&T SECURITIES, LLC

**Allegations:** The client stated, the FA traded inappropriately during early 2020. He was instructed to be a fiduciary trader and instructed to trade conservatively. The FA sold items when the market was low and put the client into stocks that were inappropriate without consultation. Additionally, the client stated, stocks were not appropriate for the client's risk tolerance and excessive trading led to high fees.

**Product Type:** Equity Listed (Common & Preferred Stock)  
Other: Managed account - all assets were managed under an investment advisory program. Transactions were not subject to commissions.

**Alleged Damages:** \$69,000.00

**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:** 05/18/2023

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 05/22/2023

**Settlement Amount:**

**Individual Contribution Amount:**



## End of Report

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