



IAPD Report

PAUL EDWARD STAFFORD

CRD# 4882942

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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

PAUL EDWARD STAFFORD (CRD# 4882942)

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 **04/21/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	STAFFORD FINANCIAL, LLC	CRD# 295502	02/09/2026

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	CETERA ADVISORS LLC	10299	BILLINGS, MT	09/08/2022 - 01/27/2026
IA	CETERA INVESTMENT ADVISERS LLC	105644	BILLINGS, MT	11/12/2020 - 01/27/2026
B	FIRST ALLIED SECURITIES, INC.	32444	BILLINGS, MT	11/12/2012 - 09/08/2022

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? **No**



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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **STAFFORD FINANCIAL, LLC**
Main Address: BILLINGS, MT
Firm ID#: 295502

Regulator	Registration	Status	Date
IA Montana	Investment Adviser Representative	Approved	02/09/2026
IA Wyoming	Investment Adviser Representative	Approved	02/09/2026

Branch Office Locations

STAFFORD FINANCIAL, LLC
Billings, MT



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 1 state securities law exam.

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	02/17/2005
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	03/11/2005
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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	09/08/2022 - 01/27/2026	CETERA ADVISORS LLC	CRD# 10299	BILLINGS, MT
IA	11/12/2020 - 01/27/2026	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	BILLINGS, MT
B	11/12/2012 - 09/08/2022	FIRST ALLIED SECURITIES, INC.	CRD# 32444	BILLINGS, MT
IA	11/13/2012 - 11/12/2020	FIRST ALLIED ADVISORY SERVICES, INC.	CRD# 137888	BILLINGS, MT
B	06/01/2009 - 11/20/2012	MORGAN STANLEY	CRD# 149777	BILLINGS, MT
IA	06/01/2009 - 11/20/2012	MORGAN STANLEY	CRD# 149777	BILLINGS, MT
IA	03/24/2009 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	BILLINGS, MT
B	03/23/2009 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	BILLINGS, MT
IA	03/14/2005 - 03/24/2009	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	BILLINGS, MT
B	02/18/2005 - 03/24/2009	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	BILLINGS, MT

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
12/2023 - Present	FLYING SOLO	OWNER/LEGACY IMPACT GUIDE	N	BILLINGS, MT, United States
09/2022 - Present	CETERA ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	ST CLOUD, MN, United States
11/2020 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
06/2000 - Present	THE STAFFORD COMPANY, LLC	INVESTOR/MANAGER	N	BARTLESVILLE, OK, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2012 - 09/2022	FIRST ALLIED SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, United States
11/2012 - 11/2020	FIRST ALLIED ADVISORY SERVICES, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	CHESTERFIELD, MO, 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.

1. STAFFORD & ASSOCIATES, INC - VP, BOARD MEMBER, 5% OWNER, COMMERCIAL AND RESIDENTIAL REAL ESTATE INVESTMENTS AND MANAGEMENT, 291 COUNTY ROAD 2189, BARTLESVILLE, OK 74003, START 02/1975, 5 HOURS/MONTH OUTSIDE TRADING HOURS.
2. THE STAFFORD COMPANY; MANAGER; REAL ESTATE(RENTAL PROPERTY/PASSIVE INVESTMENT); START DATE 06/01/2000; 4 HRS. PER MONTH.
3. ALLIES 21 LLC; DBA; PARTNER; START DATE: 12/15/2015; 160 HOURS PER MONTH.
4. FLUID PRO,LLC.; BUSINESS CONSULTANT EMPLOYEE; CONSULTING; START DATE: 03/01/2014; 40 HOURS PER MONTH.
5. CORNERSTONE COMMUNITY CHURCH; DEACON; NON-PROFIT ORGANIZATION; 12 HOURS PER MONTH; START DATE 01/28/2018.
6. PAUL STAFFORD INSURANCE; INSURANCE AGENT; START DATE: 03/21/2018; 8 HOURS PER MONTH.
7. BIBLICAL COUNSELING FOUNDATION, DBA; DIRECTOR; NON-PROFIT ORGANIZATION; START DATE 05/10/2020; 8 HOURS PER MONTH.
8. PAUL STAFFORD; FACILITATOR; EDUCATION/TEACHING; START DATE: 05/01/2021; 12 HOURS PER MONTH.
9. NAME OF OTHER BUSINESS: FLYING SOLO, INVESTMENT RELATED: NO, ADDRESS: SAME AS REGISTERED LOCATION, NATURE OF BUSINESS: LEGACY PLANNING, START DATE: 12/1/23, POSITION/TITLE/RELATIONSHIP: OWNER/LEGACY IMPACT GUIDE, APX NUMBER OF HOURS PER WEEK: 10, APX NUMBER OF HOURS DURING TRADING HOURS: VARIES, BRIEF DESCRIPTION OF DUTIES: HELP FAMILY LEADERS COMMUNICATE, ORGANIZE, AND COORDINATE IN PREPARATION FOR LEGACY PLANS;
10. NAME OF OTHER BUSINESS: PAUL STAFFORD; INVESTMENT RELATED: NO ; ADDRESS: SAME AS REGISTERED LOCATION; NATURE OF BUSINESS: RENTAL PROPERTY; START DATE: 03/2024; POSITION/TITLE/RELATIONSHIP: CO-OWNER; APX NUMBER OF HOURS PER WEEK: 1; APX NUMBER OF HOURS DURING TRADING HOURS: 1; BRIEF DESCRIPTION OF DUTIES: HOUSE RENTAL, DAILY OR MONTHLY RENTAL;



End of Report

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