IAPD Report

Tae Hullum

CRD# 7183389

Section Title | **Page(s)**

When communicating online or investing with any professional, make sure you know who you're dealing with. Imposters might link to sites like BrokerCheck from phishing or similar scam websites, or through social media, trying to steal your personal information or your money.

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

Tae Hullum (CRD# 7183389)

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 **07/08/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	07/20/2022
B	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	07/21/2022
IA	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	11/15/2022
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	09/11/2025

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **1** 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	ROBINHOOD FINANCIAL, LLC	165998	Tempe, AZ	06/29/2021 - 07/05/2022
B	PNC INVESTMENTS	129052	CLEVELAND, OH	06/10/2020 - 05/17/2021

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? **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 **1** jurisdiction(s) and 9 SRO(s) through his or her employer(s).

Employment 1 of 3

Firm Name: **RAYMOND JAMES & ASSOCIATES, INC.**

Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716

Firm ID#: 705

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	07/21/2022
B	FINRA	General Securities Sales Supervisor	Approved	07/21/2022
B	FINRA	Registered Options Principal	Approved	01/27/2023
B	FINRA	Municipal Securities Representative	Approved	07/01/2025
B	FINRA	Municipal Securities Principal	Approved	09/29/2025
B	Investors' Exchange LLC	General Securities Representative	Approved	08/12/2025
B	MEMX LLC	General Securities Representative	Approved	08/12/2025
B	MEMX LLC	General Securities Sales Supervisor	Approved	08/12/2025
B	MEMX LLC	Registered Options Principal	Approved	08/12/2025
B	NYSE American LLC	General Securities Representative	Approved	07/21/2022
B	NYSE American LLC	General Securities Sales Supervisor	Approved	07/21/2022
B	NYSE American LLC	Registered Options Principal	Approved	01/27/2023
B	NYSE American LLC	Municipal Securities Representative	Approved	07/01/2025

Qualifications

	Regulator	Registration	Status	Date
B	NYSE American LLC	Municipal Securities Principal	Approved	09/29/2025
B	NYSE Arca, Inc.	General Securities Representative	Approved	12/14/2022
B	NYSE Arca, Inc.	Registered Options Principal	Approved	01/27/2023
B	NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	08/12/2025
B	NYSE Texas, Inc.	General Securities Representative	Approved	08/12/2025
B	NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	08/12/2025
B	Nasdaq PHLX LLC	General Securities Representative	Approved	07/21/2022
B	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	07/21/2022
B	Nasdaq PHLX LLC	Registered Options Principal	Approved	01/27/2023
B	Nasdaq Stock Market	General Securities Representative	Approved	07/21/2022
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	07/21/2022
B	Nasdaq Stock Market	Registered Options Principal	Approved	01/27/2023
B	New York Stock Exchange	General Securities Representative	Approved	07/21/2022
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	07/21/2022
B	New York Stock Exchange	Municipal Securities Representative	Approved	07/01/2025
B	New York Stock Exchange	Municipal Securities Principal	Approved	09/29/2025
B	Arizona	Agent	Approved	08/05/2022
IA	Arizona	Investment Adviser Representative	Approved	11/15/2022

Branch Office Locations

Qualifications

RAYMOND JAMES & ASSOCIATES, INC.
Phoenix, AZ

Employment 2 of 3

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**

Main Address: 880 CARILLON PARKWAY
SAINT PETERSBURG, FL 33716

Firm ID#: 149018

	Regulator	Registration	Status	Date
IA	Arizona	Investment Adviser Representative	Approved	09/11/2025

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, IN
Phoenix, AZ

Employment 3 of 3

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES, INC.**

Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716

Firm ID#: 6694

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	07/20/2022
B	FINRA	General Securities Sales Supervisor	Approved	07/20/2022
B	FINRA	Registered Options Principal	Approved	06/02/2023
B	FINRA	Municipal Securities Representative	Approved	06/30/2025
B	Arizona	Agent	Approved	07/20/2022

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
Phoenix, AZ

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 4 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Securities Principal Examination (S53)	Series 53	09/29/2025
B	Registered Options Principal Examination (S4)	Series 4	01/27/2023
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	04/22/2022
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	02/07/2022

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	06/28/2025
B	General Securities Representative Examination (S7TO)	Series 7TO	06/10/2020
B	Securities Industry Essentials Examination (SIE)	SIE	09/20/2019

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	10/20/2022
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/28/2020

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	06/29/2021 - 07/05/2022	ROBINHOOD FINANCIAL, LLC	CRD# 165998	Tempe, AZ
B	06/10/2020 - 05/17/2021	PNC INVESTMENTS	CRD# 129052	CLEVELAND, OH

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
09/2025 - Present	Raymond James Financial Services Advisors, Inc	Investment Adviser Representative	Y	Phoenix, AZ, United States
07/2022 - Present	Raymond James & Associates, Inc.	Registered Representative	Y	Phoenix, AZ, United States
07/2022 - Present	Raymond James Financial Services, Inc.	Registered Representative	Y	Phoenix, AZ, United States
06/2021 - 07/2022	Robinhood Financial, LLC	Options Support Representative	Y	Tempe, AZ, United States
07/2019 - 05/2021	PNC Investments	Client Solution Specialist	Y	Cleveland, OH, United States
05/2019 - 07/2019	Unemployed	Unemployed	N	Akron, OH, United States
03/2018 - 05/2019	Citizens Bank	Relationship Banker	N	Akron, OH, United States
08/2017 - 03/2018	Unemployed	Unemployed	N	Akron, OH, United States
06/2016 - 08/2017	Huntington Bank	Relationship Banker	N	Akron, OH, United States
03/2013 - 08/2017	Lazy Gator	Bartender	N	Akron, OH, 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)Name of Business: Address: 2009 n 23rd st, phoenix , AZ, 85006, United States Activity Type: Rental Real Estate Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 06/26/2023 Hours per month devoted to this business: 0-1

Registration & Employment History

OTHER BUSINESS ACTIVITIES

Hours per month devoted to this business during trading hours: 0-1 Description of duties: owner of rental property
(2)Name of Business: Address: 2009 n 23rd st, phoenix , AZ, 85006, United States Activity Type: Rental Real Estate
Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 10/21/2024 Hours per month devoted to this business: 0-1
Hours per month devoted to this business during trading hours: 0-1 Description of duties: owner of rental property

End of Report

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