



**Thomas G. Taliaferro, CIMA<sup>®</sup>, AIF<sup>®</sup>**  
*Securities Expert Witness*

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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 investors. Extensive supervisory experience including managing a branch complex of 55 financial advisors with in excess of \$4 billion of assets under management. Experience with numerous financial advisor employment issues at broker/dealers. Spotless compliance record. Accomplished public speaker. FINRA Dispute Resolution Arbitrator. Experienced expert witness in AAA, JAMS, FINRA and superior court venues and deposition. Member of the Securities Experts Roundtable.

## **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 have 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 my initial training, I worked in the Century City branch from 1986 to 1992 when I transferred to the Santa Maria branch. In 1994 I was appointed as producing manager of the Santa Maria branch, reporting to the Santa Barbara complex manager. In 1996 I was appointed as the Santa Barbara complex manager and held that position until the end of 2003. In that position 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 54 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 30 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 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

- *Dispute Resolution Arbitrator*

IWI - Investment and Wealth Institute

- *Certification -- Fiduciary Best Practices*

Center for Fiduciary Studies—FI360

- *AIF® -- Accredited Investment Fiduciary*

Securities Experts Roundtable

- *Voting Member*

## AFFILIATIONS

Investment and Wealth Institute

Center for Fiduciary Studies--FI360

Securities Experts Roundtable

Toastmasters International

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