

Timeline of FINRA Harassment Against Talman Harris

2007-2008

- Talman Harris opened a branch brokerage office called Basic Investors.
- FINRA enforcement staff, Jeffrey Bloom and Robert Morris (“Bloom” and “Morris” respectively) made an unannounced investigation of the firm, and interrogated the company’s staff and employees. Roughly 45 employees quit because they could not stand FINRA’s harsh approach.
- No violations whatsoever were found by FINRA during this period.

2009

- Harris opened a new branch office with Seaboard Securities.
- The same FINRA enforcement staff again made an unannounced investigation, intimidating and interrogating Harris and Scholander. FINRA enforcement agents lied to the building management to enter the office and began rudely taking pictures of its interior once inside.
- No violations whatsoever were found by FINRA during this period.

2010

- Harris began to work for First merger Capital as a registered representative in February of 2010.
- Bloom and Morris again came to investigate Harris in March of 2010.
- Bloom and Morris followed up with a subsequent investigation that same year.
- While Bloom and Morris were focused on attacking Harris, they willfully ignored his tip to investigate an actual fraud run by the managers of the firm, Ronen Zakai and Maureen Gearty. After learning that Harris accurately pointed out the fraud run by Gearty and Zakai, FINRA cut Gearty a light sanction and then used her biased and false testimony to attack Harris on the totally unrelated matter now at issue.

2011- 2015

- Harris opened a branch office of Radnor Research and Trading. FINRA immediately began repeatedly examining the firm, subjecting it and Harris to an uninterrupted and hellish barrage of investigations and inquiries.
- By the spring of 2013, FINRA was constantly demanding to see the firm’s books and records, and was making unnecessary and duplicative investigations. By this time FINRA had also assigned 15 different examiners to monitor the small brokerage business with whom Harris had associated.
- The horribly faulted legal analysis in the present case serves as the most recent example of a system that has been purposefully stacked against Harris, and that can only be explained by untoward motivations of the FINRA enforcement staff who initiated the current charges and continue to harass Harris and his firm to this day.