



IAPD Report

TIMOTHY CHARLES METCALF

CRD# 1193396

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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

TIMOTHY CHARLES METCALF (CRD# 1193396)

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 **04/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	01/15/2015
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	01/15/2015

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **28** 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	WELLS FARGO ADVISORS, LLC	19616	IRVINE, CA	01/01/2008 - 01/16/2015
IA	WELLS FARGO ADVISORS, LLC	19616	IRVINE, CA	01/01/2008 - 01/16/2015
B	A. G. EDWARDS & SONS, INC.	4	IRVINE, CA	10/29/1990 - 01/03/2008

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
Regulatory Event	1
Customer Dispute	2



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 **28** jurisdiction(s) and 6 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **STIFEL, NICOLAUS & COMPANY, INCORPORATED**
Main Address: 501 N BROADWAY
ST LOUIS, MO 63102
Firm ID#: 793

Regulator	Registration	Status	Date
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	01/15/2015
B FINRA	General Securities Representative	Approved	01/15/2015
B FINRA	General Securities Sales Supervisor	Approved	01/15/2015
B NYSE American LLC	General Securities Representative	Approved	01/15/2015
B NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B Nasdaq PHLX LLC	General Securities Representative	Approved	01/15/2015
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	01/15/2015
B Nasdaq Stock Market	General Securities Representative	Approved	01/15/2015
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	01/15/2015
B New York Stock Exchange	General Securities Representative	Approved	01/15/2015
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B Arizona	Agent	Approved	01/15/2015
B Arkansas	Agent	Approved	01/15/2015



Qualifications

Regulator	Registration	Status	Date
B California	Agent	Approved	01/15/2015
IA California	Investment Adviser Representative	Approved	01/15/2015
B Colorado	Agent	Approved	01/15/2015
B Connecticut	Agent	Approved	12/16/2020
B Florida	Agent	Approved	07/02/2018
B Georgia	Agent	Approved	04/01/2015
B Hawaii	Agent	Approved	05/04/2020
B Idaho	Agent	Approved	01/15/2015
B Illinois	Agent	Approved	12/04/2015
B Massachusetts	Agent	Approved	05/24/2017
B Missouri	Agent	Approved	04/24/2025
B Nevada	Agent	Approved	04/24/2026
B New Hampshire	Agent	Approved	05/12/2017
B New Jersey	Agent	Approved	01/09/2020
B New York	Agent	Approved	01/15/2015
B North Carolina	Agent	Approved	09/24/2021
B Ohio	Agent	Approved	01/15/2015
B Oregon	Agent	Approved	01/15/2015
B Pennsylvania	Agent	Approved	01/15/2015



Qualifications

Regulator	Registration	Status	Date
B Puerto Rico	Agent	Approved	01/15/2015
B South Carolina	Agent	Approved	11/14/2024
B Tennessee	Agent	Approved	03/17/2021
B Texas	Agent	Approved	01/15/2015
IA Texas	Investment Adviser Representative	Approved	01/15/2015
B Utah	Agent	Approved	07/15/2020
B Washington	Agent	Approved	05/13/2019
B West Virginia	Agent	Approved	02/09/2023
B Wisconsin	Agent	Approved	07/02/2025

Branch Office Locations

STIFEL, NICOLAUS & COMPANY, INCORPORATED
520 NEWPORT CENTER DRIVE
SUITE 1500
NEWPORT BEACH, CA 92660

STIFEL, NICOLAUS & COMPANY, INCORPORATED
2121 AVENUE OF THE STARS (FOX PLAZA)
SUITE 2100 & 2150
LOS ANGELES, CA 90067



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	04/09/1986

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
National Commodity Futures Examination (S3)	Series 3	09/29/1993
General Securities Representative Examination (S7)	Series 7	10/15/1983

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	09/03/2014
Uniform Securities Agent State Law Examination (S63)	Series 63	11/22/1983

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	01/01/2008 - 01/16/2015	WELLS FARGO ADVISORS, LLC	CRD# 19616	IRVINE, CA
IA	01/01/2008 - 01/16/2015	WELLS FARGO ADVISORS, LLC	CRD# 19616	IRVINE, CA
B	10/29/1990 - 01/03/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	IRVINE, CA
IA	07/08/1997 - 01/01/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	IRVINE, CA
B	04/25/1988 - 10/31/1990	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	NEW YORK, NY
B	05/30/1986 - 05/19/1988	DREXEL BURNHAM LAMBERT INCORPORATED	CRD# 7323	
B	10/19/1983 - 06/09/1986	DEAN WITTER REYNOLDS INC.	CRD# 7556	

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
01/2015 - Present	STIFEL NICOLAUS & CO INC	FINANCIAL ADVISOR	Y	NEWPORT BEACH, CA, 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. MCBETH FOUNDATION; 23101 LAKE CENTER DRIVE #170 LAKE FOREST CA 92630; PRIVATE FOUNDATION; GRANT COMMITTEE MEMBER; AFFILIATION STARTED 01/01/1995; 20 HOURS PER YEAR; NOT DURING SECURITIES TRADING HOURS.
2. TKRC METCALF LLC; 139 Trafalgar Ln, San Clemente, CA 92672; Rental Property; Manager 50%; Manage the rental property; 11/20/2020; 2 Hours per Month; Not During Securities Trading Hours; Investment-Related.



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
Regulatory Event	1
Customer Dispute	2

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	SECURITIES DIVISION OF DC
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	02/11/1992
Docket/Case Number:	908-G-1
Employing firm when activity occurred which led to the regulatory action:	A.G. EDWARDS & SONS
Product Type:	
Other Product Type(s):	
Allegations:	Effected securities transactions in the District of Columbia.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	02/11/1992
Sanctions Ordered:	Monetary/Fine \$500.00
Other Sanctions Ordered:	
Sanction Details:	Fined



Regulator Statement By Order #9950 dated 2/11/92, the Public Service Commission of the District of Columbia accepted an offer of Settlement in the amount of Five Hundred Dollars (\$500.00) from A. G. Edwards & Sons, Inc. on behalf of Timothy C. Metcalf, who effected securities transactions in the District of Columbia while unlicensed. This action violated the Securities Act, Section 2-2603 (a).

Reporting Source: Firm
Regulatory Action Initiated By: DISTRICT OF COLUMBIA
Sanction(s) Sought:
Other Sanction(s) Sought:
Date Initiated: 02/11/1992
Docket/Case Number: 908-G-1
Employing firm when activity occurred which led to the regulatory action: A.G. EDWARDS & SONS
Product Type:
Other Product Type(s):
Allegations:
Current Status: Final
Resolution: Decision & Order of Offer of Settlement
Resolution Date: 02/11/1992
Sanctions Ordered: Monetary/Fine \$500.00
Other Sanctions Ordered:
Sanction Details:

Reporting Source: Individual
Regulatory Action Initiated By: DISTRICT OF COLUMBIA
Sanction(s) Sought:
Other Sanction(s) Sought:
Date Initiated: 02/11/1992
Docket/Case Number: 908-G-1
Employing firm when activity occurred which led to the regulatory action: A.G. EDWARDS & SONS
Product Type:
Other Product Type(s):



Allegations:	FAILURE TO RENEW LICENSE
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	02/11/1992
Sanctions Ordered:	Monetary/Fine \$500.00
Other Sanctions Ordered:	
Sanction Details:	THE DISTRICT OF COLUMBIA ISSUED AN ORDER STATING THAT MR. METCALF'S FAILURE TO RENEW HIS LICENSE WAS NOT WILLFUL, THAT MR. METCALF HAS NEVER BEEN THE SUBJECT OF ANY DISCIPLINARY ACTION, THAT ALL TRANSACTIONS WERE EXECUTED WITH AN INSTITUTIONAL CLIENT RATHER THAN INDIVIDUAL INVESTORS, AND THAT MR. METCALF HAS COOPERATED FULLY IN THE REVIEW OF THE SITUATION. AN OFFER OF SETTLEMENT HAS BEEN REACHED WHEREIN A.G. EDWRDS AGREES TO PAY A \$500 PENALTY TO COVER ADMINISTRATIVE COSTS.
Broker Statement	Not Provided



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 2

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint:

Allegations: UNSUITABILITY, BREACH OF FIDUCIARY DUTY, FRAUD AND NEGLIGENCE

Product Type: Other

Other Product Type(s): UNKNOWN TYPE OF SECURITIES

Alleged Damages: \$250,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #98-04960

Date Notice/Process Served: 12/23/1998

Arbitration Pending? No

Disposition: Award

Disposition Date: 08/18/2000

Disposition Detail: >09/05/00 RESPONDENTS ARE JOINTLY AND SEVERALLY LIABLE TO AND SHALL PAY CLAIMANTS \$263,225.00 IN COMPENSATORY DAMAGES PLUS INTEREST. CLAIMANT'S REQUEST FOR PUNITIVE DAMAGES IS DENIED.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: A.G. EDWARDS & SONS, INC.

Allegations: ALLEGED BREACH OF FIDUCIARY DUTY, FRAUD, NEGLIGENCE, UNSUITABLE INVESTEMENTS. TRADES OCCURRED FROM 1995 UNTIL MAY 1998. TIM METCALF WAS THE BRANCH MANAGER OF THE FC WHO HANDLED THE ACCOUNT IN QUESTION.

Product Type: Other

Other Product Type(s): LISTED STOCK

Alleged Damages: \$250,000.00

Customer Complaint Information

Date Complaint Received: 07/26/1999

Complaint Pending? No

Status: Arbitration/Reparation



Status Date: 07/26/1999

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 98-04969

Date Notice/Process Served: 07/26/1999

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 08/21/2000

Monetary Compensation Amount: \$263,225.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 2

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: A. G. EDWARDS & SONS, INC.

Allegations: UNAUTHORIZED TRADING; MISREPRESENTATION; BRCH OF FIDUCIARY DT; CHURNING

Product Type:

Alleged Damages: \$211,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #97-05376

Date Notice/Process Served: 11/25/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/19/1998

Disposition Detail: CASE IS CLOSED, SETTLED
** CASE SETTLED **

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: A. G. EDWARDS & SONS, INC.

Allegations: CLIENT ALLEGES FAILURE TO SUPERVISE. SEEKING DAMAGES OF \$211,000.



Product Type:

Alleged Damages: \$211,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 97-05376

Date Notice/Process Served: 11/25/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/19/1998

Monetary Compensation Amount: \$27,500.00

Individual Contribution Amount:

Broker Statement

A.G. EDWARDS SETTLED THIS CASE FOR \$27,500 FOR BUSINESS REASONS IN THAT THE SETTLEMENT AMOUNT WAS LESS THAN WHAT A.G. EDWARDS BELIEVED IT WOULD COST TO DEFEND THE MATTER. [CUSTOMER] AGREED TO DISMISS THE ARBITRATION WITH PREJUDICE AGAINST A.G. EDWARDS. A.G. EDWARDS & SONS, INC.



End of Report

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