



IAPD Report

TIMOTHY LUKE WYNNE

CRD# 1485399

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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 LUKE WYNNE (CRD# 1485399)

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 **08/04/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	FELTL & COMPANY	CRD# 6905	01/20/2012
IA	FELTL ADVISORS	CRD# 165244	09/16/2013

QUALIFICATIONS

This representative is currently registered in **2** 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
IA	FELTL ADVISORS	6905	Lakeville, MN	06/06/2013 - 12/20/2013
IA	OPPENHEIMER & CO. INC.	249	MINNEAPOLIS, MN	07/10/2007 - 02/02/2012
B	OPPENHEIMER & CO. INC.	249	MINNEAPOLIS, MN	01/02/2002 - 02/02/2012

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
Customer Dispute	7



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 2 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **FELTL & COMPANY**
Main Address: ONE CARLSON PARKWAY NORTH
SUITE 225
PLYMOUTH, MN 55447
Firm ID#: 6905

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	01/20/2012
B	FINRA	General Securities Representative	Approved	01/20/2012
B	Nasdaq Stock Market	General Securities Principal	Approved	01/20/2012
B	Nasdaq Stock Market	General Securities Representative	Approved	01/20/2012
B	Arizona	Agent	Approved	01/20/2012
B	California	Agent	Approved	01/20/2012
B	Florida	Agent	Approved	01/20/2012
B	Hawaii	Agent	Approved	08/25/2020
B	Illinois	Agent	Approved	01/20/2012
B	Indiana	Agent	Approved	10/22/2019
B	Iowa	Agent	Approved	03/30/2012
B	Kansas	Agent	Approved	08/27/2019
B	Louisiana	Agent	Approved	06/10/2015



Qualifications

	Regulator	Registration	Status	Date
B	Maryland	Agent	Approved	01/05/2022
B	Massachusetts	Agent	Approved	01/20/2012
B	Minnesota	Agent	Approved	01/20/2012
B	Nebraska	Agent	Approved	03/27/2015
B	Nevada	Agent	Approved	01/20/2012
B	New Mexico	Agent	Approved	01/20/2012
B	New York	Agent	Approved	01/20/2012
B	North Carolina	Agent	Approved	05/19/2021
B	North Dakota	Agent	Approved	02/29/2016
B	Ohio	Agent	Approved	01/20/2012
B	Oklahoma	Agent	Approved	08/06/2025
B	Pennsylvania	Agent	Approved	01/20/2012
B	South Carolina	Agent	Approved	06/03/2015
B	South Dakota	Agent	Approved	11/03/2015
B	Tennessee	Agent	Approved	03/13/2019
B	Texas	Agent	Approved	01/20/2012
B	Utah	Agent	Approved	05/03/2021
B	Washington	Agent	Approved	06/24/2014
B	Wisconsin	Agent	Approved	01/20/2012



Qualifications

Regulator	Registration	Status	Date
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Branch Office Locations

FELTL ADVISORS

6126 Seaside Drive
New Port Richey, FL 34652

Employment 2 of 2

Firm Name: **FELTL ADVISORS**
Main Address: ONE CARLSON PARKWAY NORTH
SUITE 225
PLYMOUTH, MN 55447
Firm ID#: 165244

Regulator	Registration	Status	Date
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IA	California	Investment Adviser Representative	Approved	09/16/2013
IA	Minnesota	Investment Adviser Representative	Approved	12/19/2013

Branch Office Locations

FELTL ADVISORS

New Port Richey, FL



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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	05/20/1994
B	General Securities Principal Examination (S24)	Series 24	03/27/1989

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	05/12/2006
B	General Securities Representative Examination (S7)	Series 7	04/19/1986

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/06/2007
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/11/1986



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
IA	06/06/2013 - 12/20/2013	FELTL ADVISORS	CRD# 6905	Lakeville, MN
IA	07/10/2007 - 02/02/2012	OPPENHEIMER & CO. INC.	CRD# 249	MINNEAPOLIS, MN
B	01/02/2002 - 02/02/2012	OPPENHEIMER & CO. INC.	CRD# 249	MINNEAPOLIS, MN
B	04/22/1994 - 01/02/2002	JOSEPHTHAL & CO., INC.	CRD# 3227	NEW YORK, NY
B	06/23/1992 - 04/21/1994	MATHEWS, HOLMQUIST & ASSOCIATES, INC.	CRD# 22171	
B	01/02/1987 - 06/25/1992	J. W. GANT & ASSOCIATES, INC.	CRD# 7963	
B	04/25/1986 - 01/02/1987	MICHELIN AND COMPANY, INC.	CRD# 14447	

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
01/2012 - Present	FELTL AND COMPANY	INVESTMENT EXECUTIVE	Y	MINNEAPOLIS, MN, 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.

No information reported.



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
Customer Dispute	7

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 7

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Feltl and Company

Allegations: The client states investment losses of \$441,306.00 in their retirement accounts. The allegations appear to include unsuitable investments, unauthorized trades and breach of fiduciary duty with the period involved from February 2014 through June 2016 though this is somewhat unclear in their letter.

Product Type: Equity-OTC
Equity Listed (Common & Preferred Stock)

Alleged Damages: \$441,306.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 07/10/2017

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 06/04/2018

Settlement Amount:



Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA Arbitration

Docket/Case #: 18-01967

Date Notice/Process Served: 06/04/2018

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/16/2019

Monetary Compensation Amount: \$180,000.00

Individual Contribution Amount: \$180,000.00

Disclosure 2 of 7

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Feltl and Company

Allegations: Client opened an individual and IRA account with the firm back on January 2014. The existing positions were liquidated and a couple OTC equity issues were purchased along with a non-traded REIT. The client's employment and financial situation then changed and along with the fact that the equity investments did not perform well, the client requested liquidation of the investments in April 2016 which resulted in losses in excess of \$21,500. Client alleges breach of fiduciary duty, unsuitability and neglect of account.

Product Type: Equity-OTC
Other: Non-Traded REIT

Alleged Damages: \$21,500.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 16-00990

Date Notice/Process Served: 06/27/2016

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/23/2016

Monetary Compensation Amount: \$5,000.00

Individual Contribution Amount: \$5,000.00

**Disclosure 3 of 7**

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: FELTL AND COMPANY

Allegations: CLAIMANTS ALLEGING NEGLIGENCE, BREACH OF FIDUCIARY DUTY, NEGLIGENT SUPERVISION, BREACH OF CONTRACT, EXCESSIVE TRADING AND EXCESSIVE COMMISSIONS, SUITABILITY FOR ALL TRADING FROM FEBRUARY 2012 THROUGH OCTOBER 2014.

Product Type: Equity-OTC
Options

Alleged Damages: \$500,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 14-03342

Date Notice/Process Served: 10/30/2014

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/09/2015

Monetary Compensation Amount: \$60,000.00

Individual Contribution Amount: \$60,000.00

Disclosure 4 of 7

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.

Allegations: UNSUITABLE INVESTMENTS IN TWO PURCHASES OF MONTICELLO MN TELECOMMUNICATION MUNICIPAL BONDS ON 6/06/2008 & 7/15/2011.

Product Type: Debt-Municipal

Alleged Damages: \$100,000.00

Alleged Damages Amount Explanation (if amount not exact): CLAIMANT SEEKING IN EXCESS OF \$100,000, PLUS ATTORNEY FEES, INTEREST PUNITIVE DAMAGES DUE TO BOND DEFAULT.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 14-01856

Date Notice/Process Served: 07/08/2014



Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/15/2015
Monetary Compensation Amount:	\$55,000.00
Individual Contribution Amount:	\$16,000.00

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Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	OPPENHEIMER & COMPANY
Allegations:	UNSUITABLE INVESTMENT IN TWO PURCHASES OF MONTICELLO MN TELECOMMUNICATION MUNICIPAL BONDS ON 6/6/08 & 7/15/11
Product Type:	Debt-Municipal
Alleged Damages:	\$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	CLAIMANT SEEKING IN EXCESS OF \$100,000, PLUS ATTORNEY FEES, INTEREST AND PUNITIVE DAMAGES DUE TO BOND DEFAULT.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	14-01856
Date Notice/Process Served:	07/12/2014
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/31/2015
Monetary Compensation Amount:	\$55,000.00
Individual Contribution Amount:	\$16,000.00

Disclosure 5 of 7

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FELTL AND COMPANY
Allegations:	UNSUITABLE INVESTMENTS, DISCRETIONARY TRADING FEBRUARY 2012 - DECEMBER 2013
Product Type:	Equity Listed (Common & Preferred Stock) Options
Alleged Damages:	\$3,376,651.00

**Arbitration Information**

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 14-02066

Date Notice/Process Served: 07/14/2014

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/25/2016

Monetary Compensation Amount: \$570,000.00

Individual Contribution Amount: \$570,000.00

Disclosure 6 of 7

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.

Allegations: CLIENT ALLEGES THAT TRANSACTIONS WERE MADE IN HIS ACCOUNT FOR THE SOLE PURPOSE OF GENERATING COMMISSIONS. NO TIME PERIOD SPECIFIED, BUT ACCOUNTS BEGAN IN SEPTEMBER 2008 AND FA LEFT FIRM IN JANUARY 2012.

Product Type: Debt-Government
Equity-OTC
Futures Commodity
Mutual Fund
Oil & Gas

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): DAMAGES UNSPECIFIED, BUT BELIEVED TO BE OVER \$5000.00.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 02/21/2012

Complaint Pending? No

Status: Denied

Status Date: 04/04/2012

Settlement Amount:

Individual Contribution Amount:



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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.

Allegations: CLIENT ALLEGES THAT TRANSACTIONS WERE MADE IN HIS ACCOUNT FOR THE SOLE PURPOSE OF GENERATING COMMISSIONS. NO TIME PERIOD SPECIFIED, BUT THE ACCOUNTS BEGAN IN SEPTEMBER 2008 AND FA LEFT FIRM IN JANUARY 2012

Product Type: Equity-OTC
Futures Commodity

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): DAMAGES UNSPECIFIED, BUT BELIEVED TO BE OVER \$5000

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 02/21/2012

Complaint Pending? No

Status: Denied

Status Date: 04/04/2012

Settlement Amount:

Individual Contribution Amount:

Disclosure 7 of 7

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: JOSEPHTHAL

Allegations: CHURNING, BREACH OF CONTRACT, NEGLIGENCE, SUITABILITY VIOLATIONS, UNAUTHROIZED TRADING AND MISREPRESENTATION.

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s): MONEY MARKET FUND(S), MUTUAL FUND(S)

Alleged Damages: \$350,000.00

Customer Complaint Information

Date Complaint Received: 06/15/2004

Complaint Pending? No

Status: Arbitration/Reparation



Status Date: 07/15/2004

Settlement Amount:

**Individual Contribution
Amount:**

Arbitration Information

**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** NASD #04-02812

Date Notice/Process Served: 06/15/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/05/2005

**Monetary Compensation
Amount:** \$118,000.00

**Individual Contribution
Amount:** \$0.00



End of Report

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