



## IAPD Report

# Timothy D. Johnson

CRD# 2827259

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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 D. Johnson (CRD# 2827259)

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 **11/13/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	EDWARD JONES	CRD# 250	01/03/1997
<b>IA</b>	EDWARD JONES	CRD# 250	02/09/2007

### QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **25** 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
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No information reported.

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	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 **25** jurisdiction(s) and 4 SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **EDWARD JONES**  
Main Address: 12555 MANCHESTER RD  
ST. LOUIS, MO 63131  
Firm ID#: 250

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	01/03/1997
<b>B</b> NYSE American LLC	General Securities Representative	Approved	09/13/2011
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	02/13/1997
<b>B</b> Alaska	Agent	Approved	12/15/2010
<b>B</b> Arizona	Agent	Approved	04/22/1997
<b>B</b> California	Agent	Approved	04/21/1997
<b>B</b> Colorado	Agent	Approved	06/18/2025
<b>B</b> Florida	Agent	Approved	03/13/2007
<b>B</b> Georgia	Agent	Approved	07/18/2022
<b>B</b> Hawaii	Agent	Approved	11/02/2022
<b>B</b> Idaho	Agent	Approved	04/21/1997
<b>B</b> Kansas	Agent	Approved	04/30/2013



### Qualifications

Regulator	Registration	Status	Date
B Minnesota	Agent	Approved	05/28/2019
B Missouri	Agent	Approved	04/10/2024
B Montana	Agent	Approved	08/15/1997
B Nebraska	Agent	Approved	11/16/2021
B Nevada	Agent	Approved	04/06/1999
B New Mexico	Agent	Approved	04/26/2024
B New York	Agent	Approved	03/11/2025
B North Dakota	Agent	Approved	11/16/2021
B Ohio	Agent	Approved	11/07/2024
B Oklahoma	Agent	Approved	06/21/2004
B Oregon	Agent	Approved	04/21/1997
B Texas	Agent	Approved	01/06/2004
IA Texas	Investment Adviser Representative	Restricted Approval	12/10/2018
B Utah	Agent	Approved	09/06/2000
B Virginia	Agent	Approved	12/14/2015
B Washington	Agent	Approved	01/22/1997
IA Washington	Investment Adviser Representative	Approved	02/09/2007
B Wisconsin	Agent	Approved	03/15/2021



## Qualifications

### Branch Office Locations

**EDWARD JONES**  
701 W BROADWAY AVE  
MOSES LAKE, WA 98837



## 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 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	12/30/1996
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#### State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	01/26/2007
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Uniform Securities Agent State Law Examination (S63)	Series 63	12/31/1996
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### 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:

No information reported.

### 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
10/1996 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	MOSES LAKE, WA, 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.

Black Horse Properties LLC  
 Type of business: Com Prop.  
 Moses Lake, WA  
 Start date: 6/3/2009  
 Manager  
 Hours per week: 4  
 Hours during trading: 4  
 Desc: Own commercial property. Collect rents, pay bills



## 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	2

### 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:** Individual

**Employing firm when activities occurred which led to the complaint:** EDWARD JONES

**Allegations:** 4/00-2/09; CLIENT CLAIMS HE ALWAYS FOLLOWED THE ADVICE OF THE FA TO STAY INVESTED BUT HE CONTINUED TO BE CONCERNED WITH THE MARKET AND THE DECLINE IN VALUE OF HIS STOCKS. HE MET WITH FA AND CHANGES WERE MADE TO MUTUAL FUNDS. CLIENT CLAIMS THEY INITIALLY INCREASED IN VALUE AND AS HE WAS STILL WORRIED ABOUT THE MARKET WANTED TO GET OUT. THE FA CONTINUED TO ADVISE TO HOLD. CLIENT CLAIMS THE VALUES DROPPED AND HE WAS DOWN \$60,000 FROM WHERE THE VALUE WAS WHEN HE WANTED TO SELL. CLIENT NOW CLAIMS, AFTER SPEAKING WITH ANOTHER FINANCIAL ADVISOR, HE WAS NOT INVESTED CORRECTLY FOR HIS AGE AND HE SHOULD NOT HAVE BEEN PLACED IN "HIGH RISK, HIGH GAIN" INVESTMENTS. CLIENT IS ASKING FOR LOSSES. CLAIM EXCEEDS \$5,000

**Product Type:** Mutual Fund

**Alleged Damages:** \$60,000.00

**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:** 02/18/2009



<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	05/29/2009
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	
<b>Broker Statement</b>	<p>OUR RECORDS INDICATE THE ACCOUNT WAS ESTABLISHED IN APRIL 2000 AND FUNDED WITH STOCKS TRANSFERRED FROM CLIENT'S MOTHER'S ACCOUNT. FA STATED, AS THE STOCKS WERE PRIMARILY TELECOM STOCKS, HE SUGGESTED (OVER A NUMBER YEARS) LIQUIDATING THE SHARES AND DIVERSIFYING PORTFOLIO. FA INDICATED CLIENT FINALLY DECIDED TO MAKE CHANGES TO PORTFOLIO AND WANTED TO FOCUS ON OBTAINING GROWTH. BASED ON DISCUSSIONS INVESTMENTS WERE MADE IN GROWTH AND GROWTH AND INCOME FUNDS WITH AMERICAN FUNDS IN 2006. CLIENT WOULD HAVE BEEN PROVIDED WITH PROSPECTUSES WHICH DETAIL THE FUNDS TO INCLUDE RISKS. ACCORDING TO FA, WHILE CLIENT DID LATER HAVE DISCUSSIONS REGARDING THE MARKET AND CLIENT'S ACCOUNT, CLIENT AT NO TIME INSTRUCTED HIM TO LIQUIDATE HOLDINGS. HE FURTHER STATED HE REVIEWED THE PROS AND CONS OF ATTEMPTING TO TIME THE MARKET AS OPPOSED TO INVESTING OVER THE LONG-TERM. CLIENT HAS BEEN PROVIDED WITH CLIENT STATEMENTS DURING THE PERIOD IN QUESTION REFLECTING THE HOLDINGS IN CLIENT'S ACCOUNT TO INCLUDE THE ASSET CATEGORIES. OUR RECORDS DO NOT REFLECT PORTFOLIO WAS INVESTED IN HIGH RISK/HIGH GAIN INVESTMENTS AS CLIENT HAS INDICATED IN LETTER AND THE INVESTMENTS DO APPEAR TO BE WITHIN THE SCOPE OF STATED INVESTMENT OBJECTIVES. WHILE WE UNDERSTAND DISSATISFACTION WITH THE PERFORMANCE OF ACCOUNT, MARKET FLUCTUATION IS A RISK ASSOCIATED WITH INVESTING. BASED ON OUR REVIEW, THE INVESTMENTS WERE PURCHASED BASED ON INFORMATION PROVIDED BY CLIENT AT THE TIME OF THE TRADES AND THE ORDERS WERE PLACED WITH CLIENT'S AUTHORIZATION. FURTHER, IT APPEARS NO SPECIFIC ORDER INSTRUCTIONS WERE GIVEN TO FA TO LIQUIDATE ACCOUNT.</p>
<b>Disclosure 2 of 2</b>	
<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	EDWARD JONES
<b>Allegations:</b>	<p>THE CLIENT STATES THE FA CONTACTED HIM IN AUGUST 07 TO PURCHASE WM. THE CLIENT STATES THE FA KNEW HE ONLY WAS INTERESTED IN SECURITIES THAT HAD A "BUY" OPINION. HE STATES HE HAD A LOW RISK TOLERANCE. HE INDICATED HE USUALLY DOES SOME RESEARCH ON SECURITIES BEFORE MAKING A PURCHASE, BUT IN THIS CASE RELIED ON THE FA'S RECOMMENDATION. THE CLIENT STATES THE FA INFORMED HIM THAT WM HAD TAKEN THEIR HIT ON THE SUB PRIME, WERE "CLEAN" AND A GOOD BUY WITH A DIVIDEND. THE CLIENT STATES AFTER THE VALUE BEGAN DECLINING, HE DISCOVERED THE OPINION WAS A "HOLD" AT THE TIME OF THE PURCHASE. THE CLIENT WANTS THE FULL AMOUNT OF THE LOSSES REIMBURSED TO HIM.</p>
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)



**Alleged Damages:** \$5,000.00

### **Customer Complaint Information**

**Date Complaint Received:** 01/31/2008

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 03/19/2008

**Settlement Amount:**

**Individual Contribution Amount:**

### **Broker Statement**

OUR RECORDS INDICATE YOU PURCHASED 1,000 SHARES OF WASHINGTON MUTUAL INC. ON AUGUST 9, 2007. THE FA HAS STATED WHEN ADDITIONAL DISCLOSURES CAME OUT, HE CONTACTED YOU TO REVIEW THE SECURITY. ACCORDING TO THE FA YOU WERE INFORMED YOU HAD THREE OPTIONS; YOU COULD HOLD, LIQUIDATE OR PURCHASE MORE SHARES. THE FA HAS STATED YOU ELECTED TO HOLD THE SHARES. YOU HAVE INDICATED YOU INFORMED THE FA THAT YOU NEVER CONSIDER STOCKS UNLESS THERE WAS A "BUY" OPINION. THE FA INDICATES HE WAS NOT INFORMED OF YOUR POSITION TO PURCHASE ONLY STOCKS WITH A "BUY" OPINION. ACCORDING TO THE FA, YOU HAD PURCHASED STOCKS PREVIOUSLY IN YOUR JOINT ACCOUNT THAT DID NOT HAVE A "BUY" OPINION. BASED ON OUR REVIEW, IT DOES NOT APPEAR THE FA WAS AWARE OF YOUR INTENTION TO PURCHASE SECURITIES WITH ONLY A "BUY" OPINION. IT IS OUR UNDERSTANDING YOU WERE INFORMED OF ADDITIONAL DISCLOSURES ON WASHINGTON MUTUAL, AS SOON AS THEY WERE AVAILABLE, AND GIVEN THE OPTION TO LIQUIDATE, HOLD OR PURCHASE MORE SHARES. WHILE WE UNDERSTAND YOUR DISAPPOINTMENT WITH THE PERFORMANCE OF THE INVESTMENT, THE VALUE OF THESE SHARES ARE ATTRIBUTED TO CIRCUMSTANCES BEYOND OUR CONTROL AND MARKET FLUCTUATION, WHICH IS A RISK ASSOCIATED WITH INVESTING. IN LIGHT OF THESE CIRCUMSTANCES YOUR REQUEST FOR REIMBURSEMENT OF MARKET LOSSES IS RESPECTFULLY DENIED.



## End of Report

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