IAPD Report

TIMOTHY ALLEN BUSH

CRD# 4115065

Section Title	Page(s)

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 ALLEN BUSH (CRD# 4115065)

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 **09/19/2022**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	TUCKER ASSET MANAGEMENT LLC	CRD# 174844	05/12/2017

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	J.W. COLE FINANCIAL, INC.	124583	DONALSONVILLE, GA	06/29/2011 - 05/08/2017
B	WORKMAN SECURITIES CORPORATION	31898	DONALSONVILLE, GA	02/02/2006 - 06/30/2011
B	PAN-AMERICAN FINANCIAL ADVISERS	15578	NEW ORLEANS, LA	01/17/2000 - 11/30/2005

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	2
Customer Dispute	1

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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name:	**TUCKER ASSET MANAGEMENT LLC**
Main Address:	1520 WEST CANAL COURT SUITE 100 LITTLETON, CO 80120
Firm ID#:	174844

	Regulator	Registration	Status	Date
IA	Georgia	Investment Adviser Representative	Approved	05/12/2017

Branch Office Locations

TUCKER ASSET MANAGEMENT LLC
Gainesville, GA

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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	05/08/2017
B	General Securities Representative Examination (S7)	Series 7	05/02/2001
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/13/2000

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/28/2017
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/19/2000

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	06/29/2011 - 05/08/2017	J.W. COLE FINANCIAL, INC.	CRD# 124583	DONALSONVILLE, GA
B	02/02/2006 - 06/30/2011	WORKMAN SECURITIES CORPORATION	CRD# 31898	DONALSONVILLE, GA
B	01/17/2000 - 11/30/2005	PAN-AMERICAN FINANCIAL ADVISERS	CRD# 15578	NEW ORLEANS, LA

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
04/2017 - Present	TUCKER ASSET MANAGEMENT LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	LITTLETON, CO, United States
06/2011 - Present	J.W. COLE FINANCIAL	REGISTERED REP	Y	TAMPA, FL, United States
01/2005 - Present	TA BUSH FINANCIAL SERVICES	INSURANCE SERVICES	Y	DONALSONVILLE, GA, 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) A) TIM BUSH B) NOT INVESTMENT RELATED C) 3871 Valley View Court, Gainesville, GA 30501 D) PROPERTY MGR/OFFICE RENTAL E) OWNER F) JAN 2012 G) 1 HOUR/MONTH I) COLLECT RENT J) OFFICER K) NO CLIENTS INVOLVED L) $3,600/YEAR
(2) A) TIM BUSH FARM B) NOT INVESTMENT RELATED C) 162 BUSH DAIRY RD DONALSONVILLE, GA 39845 D) TREE FARM E) OWNER F) 2006 G) 20 HRS/MONTH H) NONE DURING TRADING HRS I) OVERSEE, MOW, PEROMETER AND BURN WHEN PRESCRIBED J) OFFICER K) NO CLIENTS INVOLVED L) $35,000/YEAR
(3) A) BUSH RETIREMENT & WEALTH STRATEGIES B) INVESTMENT RELATED C) 3871 Valley View Court, Gainesville, GA 30501 D) IND INSURANCE AGENCY E) AGENT F) MAY 2005 G) 130 HRS/MONTH H) 130 DURING TRADING HRS I) SALES & SERVICE ACCTS J) OFFICER K) CLIENTS INVOLVED L) $100,000/YEAR
(4) A)DONALSONVILLE/SEMINOLE COO. CHAMBER OF COMMERCE B) NOT INVESTMENT RELATED C) 122 E. 2ND STREET DONALSONVILLE, GA 39845 D) IMPROVE COMMERCE IN AREA E) BOARD MEMBER F) FEB. 2012 G) 2 HRS/MONTH H) 2 DURING TRADING HRS I) SERVE ON BOARD J) NOT AN OFFICER K) NO CLIENTS INVLVED L) NO COMPENSATION

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	2
Customer Dispute	1

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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	ALABAMA SECURITIES COMMISSION/ADMINISTRATIVE
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	CONSENT ORDER
Date Initiated:	04/12/2001
Docket/Case Number:	CO-00-0011
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	
Allegations:	ON 4-12-2001, THE ALABAMA SECURITIES COMMISSION ISSUED A CONSENT ORDER CO-00-0011, TO TIMOTHY ALLEN BUSH RESOLVING CEASE & DESIST ORDER CD-00-0011, DATED APRIL 5, 2000
Current Status:	Final
Resolution:	Consent
Resolution Date:	04/12/2001
Sanctions Ordered:	
Other Sanctions Ordered:	ADMINISTRATIVE ASSESSMENT OF $1,000 AND INVESTIGATIVE COSTS OF $500

Sanction Details:	NA
Regulator Statement	ON 4-12-2001 THE ALABAMA SECURITIES COMMISSION ISSUED A CONSENT ORDER CO-00-0011 RESOLVING THE CD-00-0011 ISSUED APRIL 5, 2000.

Reporting Source:	Individual
Regulatory Action Initiated By:	ALABAMA SECURITIES COMMISSION/ADMINISTRATIVE
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	CONSENT ORDER
Date Initiated:	04/12/2001
Docket/Case Number:	CO-00-0011
Employing firm when activity occurred which led to the regulatory action:	ALLIANCE LEASING INC.
Product Type:	Other
Other Product Type(s):	UNREGISTERED SECURITIES
Allegations:	I SOLD UNREGISTERED SECURITIES IN THE STATE OF ALABAMA. INVESTORS WERE SOLICITED TO PARTICIPATE IN A TWO YEAR PROGRAM FOR A MINIMUM INVESTMENT OF $10,000. INVESTORS WERE PROMISED A RETURN OF 28%-32% OVER 25 MONTHS. I WAS NOT A REGISTERED SECURITIES AGENT IN ALABAMA.
Current Status:	Final
Resolution:	Consent
Resolution Date:	04/12/2001
Sanctions Ordered:	Monetary/Fine $1,500.00
Other Sanctions Ordered:	ADMINISTRATIVE ASSESSMENT OF $1,000 AND INVESTIGATIVE COSTS OF $500.
Sanction Details:	N/A
Broker Statement	ON 4/12/2001 THE ALABAMA SECURITIES COMMISSION ISSUED A CONSENT ORDER CO-00-0011 RESOLVING THE CD-00-0011 ISSUED 4/5/2000.

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	ALABAMA SECURITIES COMMISSION/ADMINISTRATIVE
Sanction(s) Sought:	Cease and Desist
Date Initiated:	04/05/2000
Docket/Case Number:	CD-2000-0011
URL for Regulatory Action:	

Employing firm when activity occurred which led to the regulatory action:	ALLIANCE LEASING INC
Product Type:	Options
Allegations:	RESPONDENTS; ALLIANCE LEASING INC.;PRIME ATLANTIC INC.;TIMOTHY ALLEN BUSH;JOHN WALTER LANG;GERALD L. SHERMAN;STEPHEN CAMPBELL TROWBRIDGE;ROGER LYNN UNDERWOOD;AND DONNA PRICE WILHITE OFFERED AND SOLD UNREGISTERED SECURITIES TO WIT: JOINT VENTURE INTERESTS OF ALLIES LEASING INC., IN THE STATE OF ALABAMA. INVESTORS WERE SOLICITED TO PARTICIPATE IN ALLIANCE'S TWO YEAR PROGRAM FOR A MINIMUM INVESTMENT OF $10,000. INVESTORS WERE PROMISED A MINIMUM RETURN OF 28-32% OVER 25 MONTHS. RESPONDENTS SOLD THESE INVESTMENTS TO AT LEAST 23 ALABAMA RESIDENTS. RESPONDENTS ALLIED, PRIME, BUSH, LANG, SHERMAN AND UNDERWOOD WERE NOT REGISTERES AS SECURITIES DEALERS OR AGENTS IN ALABAMA. MADE A FINAL ORDER WITH ISSUANCE OF CONSENT ORDER #CO-00-0011ON 04/12/2001
Current Status:	Final
Resolution:	MADE A FINAL ORDER WITH ISSUANCE OF CONSENT ORDER #CO-00-0011ON 04/12/2001
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	04/12/2001
Sanctions Ordered:	Other: MADE A FINAL ORDER WITH ISSUANCE OF CONSENT ORDER #CO-00-0011ON 04/12/2001
Regulator Statement	RESPONDENTS; ALLIANCE LEASING INC.;PRIME ATLANTIC INC.;TIMOTHY ALLEN BUSH;JOHN WALTER LANG;GERALD L. SHERMAN;STEPHEN CAMPBELL TROWBRIDGE;ROGER LYNN UNDERWOOD;AND DONNA PRICE WILHITE OFFERED AND SOLD UNREGISTERED SECURITIES TO WIT: JOINT VENTURE INTERESTS OF ALLIES LEASING INC., IN THE STATE OF ALABAMA. INVESTORS WERE SOLICITED TO PARTICIPATE IN ALLIANCE'S TWO YEAR PROGRAM FOR A MINIMUM INVESTMENT OF $10,000. INVESTORS WERE PROMISED A MINIMUM RETURN OF 28-32% OVER 25 MONTHS. RESPONDENTS SOLD THESE INVESTMENTS TO AT LEAST 23 ALABAMA RESIDENTS. RESPONDENTS ALLIED, PRIME, BUSH, LANG, SHERMAN AND UNDERWOOD WERE NOT REGISTERES AS SECURITIES DEALERS OR AGENTS IN ALABAMA.

Reporting Source:	Individual
Regulatory Action Initiated By:	ALABAMA SECURITIES COMMISSION
Sanction(s) Sought:	Cease and Desist
Other Sanction(s) Sought:	
Date Initiated:	04/05/2000
Docket/Case Number:	CD-2000-001

Employing firm when activity occurred which led to the regulatory action:	ALLIANCE LEASING, INC.
Product Type:	Options
Other Product Type(s):	UNREGISTERED SECURITIES
Allegations:	I SOLD UNREGISTERED SECURITIES IN THE STATE OF ALABAMA. INVESTORS WERE SOLICITED TO PARTICIPATE IN A TWO YEAR PROGRAM FOR A MINIMUM INVESTMENT OF $10,000. INVESTORS WERE PROMISED A RETURN OF 28%-32% OVER 25 MONTHS. I WAS NOT A REGISTERED SECURITIES AGENT IN ALABAMA.
Current Status:	Final
Resolution:	Other
Resolution Date:	04/05/2000
Sanctions Ordered:	Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	I SOLD UNREGISTERED SECURITIES IN THE STATE OF ALABAMA. INVESTORS WERE SOLICITED TO PARTICIPATE IN A TWO YEAR PROGRAM FOR A MINIMUM INVESTMENT OF $10,000. INVESTORS WERE PROMISED A RETURN OF 28%-32% OVER 25 MONTHS. I WAS NOT A REGISTERED SECURITIES AGENT IN ALABAMA.
Broker Statement	IN JULY 1998, I WAS INFORMED OF ALLIANCE LEASING. I WAS SOLICITED TO SELL THEIR EQUIPMENT LEASING PROGRAM. I WAS ASSURED THAT IT WAS NOT A SECURITY AND THAT THE PROGRAM WAS FULLLY INSURED FOR MY CLIENTS. AT THAT TIME I HAS NOT APPLIED FOR A SECURITIES LICENSE. I WAS IGNORANT OF ALL RULES & REGULATIONS CONCERNING SECURITIES. I DID NOT KNOW THAT THE ALLIANCE LEASING EQUIPMENT PROGRAM RESEMBLED A SECURITY. I SOLD ONE PROGRAM TO A MARRIED COUPLE IN ALABAMA IN AUGUST OF 1998. SINCE THAT TIME IT HAS BEEN RULED AS A SECURITY. I WAS NOT A REGISTERED SECURITIES AGENT IN ALABAMA THEN. AT PRESENT I STILL AM NOT A REGISTERED SECURITIES AGENT IN ALABAMA.

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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WORKMAN SECURITIES CORPORATION
Allegations:	ALLEGATIONS, AS STATED IN THE COMPLAINT, INCLUDE SUITABILITY (LACK OF LIQUIDITY) AND REBATING CONCERNS SURROUNDING THE PURCHASE OF A FIXED ANNUITY IN MARCH 2008. SIMILAR ALLEGATIONS INCLUDE SUITABILITY CONERNS SURROUDING THE PURCHASE OF A UNIVERSAL LIFE POLICY IN OCTOBER 2005. THE LIFE POLICY WAS PURCHASED WHEN THE REPRESENTATIVE WAS EMPLOYED WITH PAN-AMERICAN FINANCIAL ADVISORS.
Product Type:	Annuity-Fixed
Alleged Damages:	$81,000.00
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:	04/22/2009
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	06/15/2009
Settlement Amount:	
Individual Contribution Amount:	

End of Report

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