IAPD Report

TIMOTHY DANIEL MCEWEN

CRD# 4648341

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 DANIEL MCEWEN (CRD# 4648341)

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 **05/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	PRAIRIE WEALTH ADVISORS, INC.	CRD# 165266	05/04/2026

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	RBC CAPITAL MARKETS, LLC	31194	LINCOLN, NE	12/15/2016 - 05/13/2026
IA	RBC CAPITAL MARKETS, LLC	31194	LINCOLN, NE	12/15/2016 - 05/13/2026
B	UBS FINANCIAL SERVICES INC.	8174	LINCOLN, NE	12/05/2008 - 01/06/2017

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	1

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

Employment 1 of 1

Firm Name:	**PRAIRIE WEALTH ADVISORS, INC.**
Main Address:	10250 REGENCY CIRCLE SUITE 115 OMAHA, NE 68114
Firm ID#:	165266

	Regulator	Registration	Status	Date
IA	Nebraska	Investment Adviser Representative	Approved	05/13/2026
IA	Texas	Investment Adviser Representative	Restricted Approval	05/04/2026

Branch Office Locations

PRAIRIE WEALTH ADVISORS, INC.
8101 O STREET
SUITE 200
LINCOLN, NE 68510

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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, 4 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	03/28/2007
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/23/2007

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	09/28/2007
B	Futures Managed Funds Examination (S31)	Series 31	08/27/2003
B	General Securities Representative Examination (S7)	Series 7	05/01/2003

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	05/14/2003

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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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	12/15/2016 - 05/13/2026	RBC CAPITAL MARKETS, LLC	CRD# 31194	LINCOLN, NE
IA	12/15/2016 - 05/13/2026	RBC CAPITAL MARKETS, LLC	CRD# 31194	LINCOLN, NE
B	12/05/2008 - 01/06/2017	UBS FINANCIAL SERVICES INC.	CRD# 8174	LINCOLN, NE
IA	12/05/2008 - 01/06/2017	UBS FINANCIAL SERVICES INC.	CRD# 8174	LINCOLN, NE
B	04/02/2007 - 12/08/2008	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	LINCOLN, NE
IA	04/02/2007 - 12/08/2008	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	LINCOLN, NE
IA	06/03/2003 - 04/02/2007	MORGAN STANLEY	CRD# 7556	LINCOLN, NE
B	05/05/2003 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	LINCOLN, NE

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
05/2026 - Present	PRAIRIE WEALTH ADVISORS, INC.	PRESIDENT AND CO-OWNER	Y	LINCOLN, NE, United States
12/2016 - 05/2026	RBC Capital Markets, LLC	Registered Representative	Y	Lincoln, NE, United States
04/2018 - 01/2025	City National Bank	Employee of an affiliate	Y	Lincoln, NE, United States
12/2008 - 12/2016	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	LINCOLN, NE, 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) NAME OF ENTITY: MATT TALBOT KITCHEN & OUTREACH
ADDRESS: 2121 N. 27TH ST. P.O. BOX 80935 LINCOLN, NE 68501

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Registration & Employment History

OTHER BUSINESS ACTIVITIES

NOT INVESTMENT RELATED;
BUSINESS DESCRIPTION: Serving the physical, nutritional and spiritual needs for Lincoln's underprivileged and homeless;
CAPACITY: BOARD PRESIDENT;
START DATE: 10/01/19;
DUTIES: Guidance, financial support and oversight of non-profit mission - reaching the poor, underserved and underfed in Lincoln, NE;
HOURS DEVOTED PER MONTH: .5 HOURS;
HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0;

2) NAME OF ENTITY: JUNIOR ACHIEVEMENT
ADDRESS: 300 S. 68TH STREET PLACE, SUITE 110, LINCOLN, NE 68510
NOT INVESTMENT RELATED;
BUSINESS DESCRIPTION: A NONPROFIT ORGANIZATION THAT PREPARES YOUNG PEOPLE TO SUCCEED IN A GLOBAL ECONOMY BY OFFERING A WIDE RANGE OF EDUCATIONAL, VOLUNTEER AND PARTNERSHIP OPPORTUNITIES;
CAPACITY: BOARD OF TRUSTEES;
START DATE: ; 10/1/2021
DUTIES: THE BOARD OF TRUSTEES PROVIDES ADVICE TO THE MANAGEMENT OF OUR LOCAL JUNIOR ACHIEVEMENT OFFICE;
HOURS DEVOTED PER MONTH: 3 HOURS PER YEAR;
HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0;

3) NAME OF ENTITY: TDM Investments, LLC
ADDRESS: 5525 S 96th Place Lincoln, NE 68526
NOT INVESTMENT RELATED:
BUSINESS DESCRIPTION: LLC to own rental properties
CAPACITY: Owner - Active
START DATE: 10/01/22
DUTIES: Owning and renting the properties
HOURS DEVOTED PER MONTH: 0
HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0

4) NAME OF ENTITY: GREER ENTERPRISES INC.
ADDRESS: 48546 RATTLE RUN DRIVE, MACOMB, MI 48044;
NOT INVESTMENT RELATED:
BUSINESS DESCRIPTION: PRIVATE COMPANY OWNED BY A CLIENT;
CAPACITY: BOARD OF DIRECTORS
START DATE: 1/26/2023
DUTIES: ADVISOR TO THE CEO ON STRATEGY AND OPERATIONS FOR A LEGACY COMMERCIAL PROPERTY ENTITY;
HOURS DEVOTED PER MONTH: 1 HOUR PER MONTH;
HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0
COMPENSATION: YES

5) PRIVATE SECURITIES INVESTMENTS: A) MEADOWLARK PARTNERS/TOPCO AMERICA, LLC; OWNS GUN RANGES, 2/14/2022 TO PRESENT; $100K INVESTMENT. B) INVEST WOODBURY II, LLC; MULTI-FAMILY HOUSING; 10/1/2019 TO PRESENT; $100K INVESTMENT. C) CIP OPPORTUNITY FUND I LP; MULTI-FAMILY RESIDENTIAL; 3/29/2017 TO PRESENT; $100K INVESTMENT. ALL THREE PRIVATE INVESTMENTS ARE PASSIVE, NO TIME SPENT AND NO DUTIES OTHER THAN LIMITED PARTNER; LESS THAN 1% OWNERSHIP IN EACH PRIVATE INVESTMENT.

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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.

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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	1

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:	RBC Capital Markets, LLC
Allegations:	Claimant alleges untimely purchase and exercise of put option in her account, as well as delayed transfer of account to new firm, causing her damage. Date of activities leading to allegation are September-December 2018.
Product Type:	Options
Alleged Damages:	$500,000.00
Alleged Damages Amount Explanation (if amount not exact):	Claim alleges $500,000 to $1,000,000.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	19-01657
Filing date of arbitration/CFTC reparation or civil litigation:	06/18/2019

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Customer Complaint Information

Date Complaint Received:	10/25/2018
Complaint Pending?	No
Status:	Settled
Status Date:	03/12/2021
Settlement Amount:	$162,500.00
Individual Contribution Amount:	$0.00
Broker Statement	The employee is not named in the arbitration.

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End of Report

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