



IAPD Report

TIMOTHY RAY RODGERS

CRD# 735129

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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 RAY RODGERS (CRD# 735129)

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 **10/20/2020**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	NOVA R WEALTH, INC.	CRD# 169574	08/04/2014

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	PURSHE KAPLAN STERLING INVESTMENTS	35747	Overland Park, KS	09/30/2014 - 10/09/2015
B	WELLS FARGO ADVISORS, LLC	19616	OVERLAND PARK, KS	01/01/2008 - 08/12/2014
IA	WELLS FARGO ADVISORS, LLC	19616	OVERLAND PARK, KS	01/01/2008 - 08/12/2014

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

Employment 1 of 1

Firm Name: **NOVA R WEALTH, INC.**
Main Address: 9990 COLLEGE BLVD.
OVERLAND PARK, KS 66210
Firm ID#: 169574

	Regulator	Registration	Status	Date
	Kansas	Investment Adviser Representative	Approved	08/04/2014
	Texas	Investment Adviser Representative	Restricted Approval	08/06/2014

Branch Office Locations

NOVA R WEALTH, INC.
9990 COLLEGE BLVD.
OVERLAND PARK, KS 66210



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 1 state securities law exam.


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	10/09/2015
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 General Securities Representative Examination (S7)	Series 7	06/20/1981
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State Securities Law Exams

Exam	Category	Date
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 Uniform Securities Agent State Law Examination (S63)	Series 63	07/21/1981
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PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	09/30/2014 - 10/09/2015	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	Overland Park, KS
B	01/01/2008 - 08/12/2014	WELLS FARGO ADVISORS, LLC	CRD# 19616	OVERLAND PARK, KS
IA	01/01/2008 - 08/12/2014	WELLS FARGO ADVISORS, LLC	CRD# 19616	OVERLAND PARK, KS
B	05/12/1989 - 01/03/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	OVERLAND PARK, KS
IA	03/27/1998 - 01/01/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	OVERLAND PARK, KS
B	03/21/1989 - 06/12/1989	BINGHAM & COMPANY CAPITAL MARKETS, INC.	CRD# 16325	
B	09/15/1988 - 03/16/1989	UNDERWOOD, NEUHAUS & CO., INCORPORATED	CRD# 839	
B	03/08/1983 - 09/27/1988	STERN BROTHERS & CO.	CRD# 789	
B	09/24/1982 - 03/08/1983	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	
B	06/22/1981 - 10/01/1982	LOWELL H. LISTROM & COMPANY INC.	CRD# 6336	

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
08/2014 - Present	NOVA R WEALTH, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	OVERLAND PARK, KS, 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.EJM Industries. Private Entity. 26430 Spring Valley Rd, Louisburg, KS 66053. 2006-Present. Real estate investment.
- 2.Fixed Insurance and Annuity Sales. August 2014-Present. Independent Insurance Agent, investment related, 1 hour per month



Registration & Employment History



OTHER BUSINESS ACTIVITIES

for continuing education.

3. Advent Hospital Shawnee Mission - Vice Chairman & Investment Committee Board Member.

4. Advent Hospital Foundation Shawnee Mission - Director & Investment Committee Board Member.

5. 9990 College Blvd LLC. Private Entity. 26430 Spring Valley Rd, Louisburg, KS 66053. 2019-Present. Real estate investment.



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
Termination	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 1

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought:

Date Initiated: 11/24/2015

Docket/Case Number: [2014042274801](#)

Employing firm when activity occurred which led to the regulatory action: Wells Fargo Advisors

Product Type: Other: private securities

Allegations: Without admitting or denying the findings, Rodgers consented to the sanctions and to the entry of findings that he participated in private securities transactions that were not disclosed to or approved by his member firm, specifically he invested and jointly invested in the private securities transactions without providing prior written notice and receiving prior written approval from the firm. The findings stated that additionally, Rodgers completed annual firm compliance questionnaires in which he falsely represented that he had disclosed all his private securities investments to the firm.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)



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:

11/24/2015

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: any capacity
Duration: Five months
Start Date: 12/07/2015
End Date: 05/06/2016

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$10,000.00
Portion Levied against individual: \$10,000.00
Payment Plan: deferred
Is Payment Plan Current:
Date Paid by individual:
Was any portion of penalty waived? No

Amount Waived:

.....
Reporting Source: Individual
Regulatory Action Initiated By: Financial Industry Regulatory Authority, Inc.
Sanction(s) Sought: Monetary Penalty other than Fines
Suspension
Date Initiated: 08/12/2014
Docket/Case Number: [2014042274801](#)



Employing firm when activity occurred which led to the regulatory action:	Wells Fargo Advisors (WFA)
Product Type:	No Product
Allegations:	Mr. Rodgers participated in two private securities transactions that were not disclosed to or approved by WFA. Rodgers subsequently completed annual WFA compliance questionnaires without disclosing the private securities transactions.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	11/24/2015
Sanctions Ordered:	Monetary Penalty other than Fines Suspension Other: Fine is payable only if Mr. Rodgers resumes FINRA membership in the future.
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	FINRA Member Association (Registered Rep)
Duration:	5 Months
Start Date:	11/24/2015
End Date:	04/24/2016
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$10,000.00
Portion Levied against individual:	\$10,000.00
Payment Plan:	None
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	Mr. Rodgers entered into an AWC with FINRA regarding this matter since Mr. Rodgers has no intent at this time of being a FINRA member, to avoid cost of litigation and because Mr. Rodger's RIA practice does not involve FINRA membership.



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:	WELLS FARGO ADVISORS, LLC
Allegations:	CLIENT ALLEGES THAT HE INSTRUCTED HIS FINANCIAL ADVISOR TO LIQUIDATE HIS ENTIRE ACCOUNT BY CLOSE OF BUSINESS ON JULY 29, 2011 AND THE ACCOUNT WAS NOT LIQUIDATED UNTIL AUGUST 3, 2011 RESULTING IN MARKET LOSS OF \$7,244.
Product Type:	Mutual Fund
Alleged Damages:	\$7,244.00
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:	10/10/2011
Complaint Pending?	No
Status:	Denied
Status Date:	10/28/2011
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	I BELIEVE THE CLIENT'S CONCERNS ABOUT OUR DELIVERY OF SERVICE ARE UNFOUNDED.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, LLC
Allegations:	MISSOURI CLIENT CLAIMED THAT THE FA RECOMMENDED THAT HE INVEST \$50,000 IN A MISSOURI 3.133% 09-01-33 SER C MUNICIPAL ARS ("MISSOURI ARS") AND THAT THE FA DESCRIBED THE SECURITY AS LIQUID OR CASH. THE CLIENT FURTHER CLAIMED THAT HE FOUND THE SECURITY TO HAVE A LONG MATURITY DATE. ON JANUARY 1, 2008, \$25,000 WORTH OF THE MUNICIPAL ARS WAS REPURCHASED AND/OR REDEEMED AT PAR. THE CLIENT REQUESTED THAT THE FIRM EITHER SELL THE REMAINING \$25,000



MISSOURI ARS OR BUY THE SECURITY ITSELF.

Product Type: Debt-Asset Backed

Alleged Damages: \$25,000.00

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: 08/13/2008

Complaint Pending? No

Status: Settled

Status Date: 08/15/2008

Settlement Amount: \$25,000.00

**Individual Contribution
Amount:** \$0.00

Broker Statement

THIS MATTER INVOLVES THE SALE OF AUCTION RATE SECURITIES (ARS). THE TRANSACTION(S) AT ISSUE TOOK PLACE BEFORE MID-FEBRUARY 2008, WHEN THE ARS MARKET SUFFERED WIDESPREAD AUCTION FAILURES AND ILLIQUIDITY. THE FINANCIAL ADVISOR DID NOT CAUSE, CONTRIBUTE OR HAVE ANY CONTROL WHATSOEVER OVER THESE MARKET EVENTS. THE FIRM REACHED AGREEMENT WITH CERTAIN OF ITS REGULATORS, PURSUANT TO WHICH IT REPURCHASED ARS FOR THEIR FULL PAR VALUE FROM CERTAIN CLIENTS, INCLUDING THE INSTANT CLIENT, WHETHER THEY COMPLAINED OR NOT. THE FINANCIAL ADVISOR WAS NOT A PARTY TO THAT AGREEMENT, DID NOT MAKE ANY PAYMENT TO THE CLIENT, AND WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE REPURCHASE AMOUNT. THE SETTLEMENT AMOUNT IN ITEM 11 ABOVE REFLECTS THE PAR VALUE OF THE REPURCHASED ARS, AS REQUIRED BY FINRA REGULATORY NOTICE 09-12.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Firm Name: WELLS FARGO ADVISORS, LLC.

Termination Type: Discharged

Termination Date: 07/14/2014

Allegations: FA TERMINATED AFTER CONCERNS AROSE REGARDING UNDISCLOSED OUTSIDE BUSINESS ACTIVITIES, THE FA'S INVOLVEMENT OF CUSTOMERS IN PRIVATE INVESTMENTS THAT THE FIRM APPROVED FA TO INVEST ONLY PASSIVELY, AND THE FA'S CONDUCT IN PROVIDING HIS FORMER ASSISTANT, WHO WAS NO LONGER EMPLOYED BY WELLS FARGO ADVISORS, LLC ("WFA"), WITH THE ACCESS CODE TO ENTER WFA'S OFFICE BUILDING AND WITH A PASSWORD TO ACCESS WFA'S COMPUTER SYSTEM.

Product Type: No Product

Reporting Source: Individual

Firm Name: WELLS FARGO ADVISORS, LLC

Termination Type: Discharged

Termination Date: 07/14/2014

Allegations: ALLEGATIONS MADE THAT FA INTRODUCED FIRM CLIENTS TO AN OUTSIDE INVESTMENT OPPORTUNITY AND THAT FA WAS INVOLVED IN AN OUTSIDE BUSINESS ACTIVITY. BOTH ALLEGATIONS ARE DISPUTED, AND RELATE TO INVESTMENTS FOR WHICH FA HAD PRIOR FIRM APPROVAL. FURTHER ALLEGATIONS MADE THAT FA ENGAGED SERVICES OF FORMER SALES ASSISTANT TO ASSIST IN PREPARING REPORTS. ALLEGATIONS DISPUTED, IN THAT FA SOUGHT AND OBTAINED PRIOR APPROVAL OF FIRM TO ENGAGE SERVICES OF FORMER ASSISTANT ON A CONSULTING BASIS.

Product Type: Other: PRIVATE PLACEMENT



End of Report

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