



IAPD Report

TIMOTHY ALEXIS JOHNSON

CRD# 874358

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6
Disclosure Information	7



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 ALEXIS JOHNSON (CRD# 874358)

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 **05/18/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	03/30/2009
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	10/30/2012

QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **27** 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	WACHOVIA SECURITIES, LLC	19616	CENTERVILLE, MA	01/01/2008 - 03/30/2009
B	A. G. EDWARDS & SONS, INC.	4	CENTERVILLE, MA	06/26/1987 - 01/03/2008
B	THOMSON MCKINNON SECURITIES INC.	829	CENTERVILLE, MA	11/23/1979 - 06/08/1987

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	3



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 **27** jurisdiction(s) and 11 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **STIFEL, NICOLAUS & COMPANY, INCORPORATED**

Main Address: 501 N BROADWAY
ST LOUIS, MO 63102

Firm ID#: 793

	Regulator	Registration	Status	Date
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	05/18/2026
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	05/18/2026
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	05/18/2026
B	FINRA	General Securities Representative	Approved	03/30/2009
B	Investors' Exchange LLC	General Securities Representative	Approved	05/18/2026
B	NYSE American LLC	General Securities Representative	Approved	03/30/2009
B	NYSE Texas, Inc.	General Securities Representative	Approved	05/18/2026
B	Nasdaq ISE, LLC	General Securities Representative	Approved	05/18/2026
B	Nasdaq PHLX LLC	General Securities Representative	Approved	03/30/2009
B	Nasdaq Stock Market	General Securities Representative	Approved	03/30/2009
B	New York Stock Exchange	General Securities Representative	Approved	03/30/2009
B	Alabama	Agent	Approved	02/23/2016
B	Arizona	Agent	Approved	02/28/2023



Qualifications

	Regulator	Registration	Status	Date
B	California	Agent	Approved	04/02/2009
IA	California	Investment Adviser Representative	Approved	02/05/2014
B	Connecticut	Agent	Approved	03/30/2009
B	District of Columbia	Agent	Approved	01/25/2022
B	Florida	Agent	Approved	04/09/2009
B	Georgia	Agent	Approved	01/22/2016
B	Indiana	Agent	Approved	09/13/2024
B	Maine	Agent	Approved	08/31/2011
B	Maryland	Agent	Approved	03/30/2009
B	Massachusetts	Agent	Approved	03/30/2009
B	Michigan	Agent	Approved	01/25/2016
B	Nevada	Agent	Approved	02/14/2018
B	New Hampshire	Agent	Approved	03/30/2009
B	New Jersey	Agent	Approved	03/30/2009
B	New York	Agent	Approved	03/30/2009
B	North Carolina	Agent	Approved	03/30/2009
B	Oregon	Agent	Approved	07/03/2023
B	Pennsylvania	Agent	Approved	03/30/2009
B	Rhode Island	Agent	Approved	01/05/2022



Qualifications

	Regulator	Registration	Status	Date
B	South Carolina	Agent	Approved	01/22/2016
B	Texas	Agent	Approved	08/26/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	12/13/2016
B	Utah	Agent	Approved	09/05/2025
B	Vermont	Agent	Approved	03/30/2009
B	Virginia	Agent	Approved	03/30/2009
B	Washington	Agent	Approved	01/28/2016
B	Wisconsin	Agent	Approved	02/27/2025

Branch Office Locations

STIFEL, NICOLAUS & COMPANY, INCORPORATED
FIREFLY PROFESSIONAL BLDG., 105 ROUTE 137
UNIT A
EAST HARWICH, MA 02645



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
	General Securities Representative Examination (S7)	Series 7	11/17/1979

State Securities Law Exams

Exam	Category	Date
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	Uniform Investment Adviser Law Examination (S65)	Series 65	09/01/2012
	Uniform Securities Agent State Law Examination (S63)	Series 63	12/28/1981

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

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](#).



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	01/01/2008 - 03/30/2009	WACHOVIA SECURITIES, LLC	CRD# 19616	CENTERVILLE, MA
B	06/26/1987 - 01/03/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	CENTERVILLE, MA
B	11/23/1979 - 06/08/1987	THOMSON MCKINNON SECURITIES INC.	CRD# 829	

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
03/2009 - Present	STIFEL NICOLAUS & CO INC	FINANCIAL ADVISOR	Y	HEWLETT, NY, 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
Regulatory Event	1
Customer Dispute	3

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:	Massachusetts
Sanction(s) Sought:	Other: Consent Order
Date Initiated:	12/19/2018
Docket/Case Number:	2018-0142
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Stifel, Nicolaus & Company, Incorporated
Product Type:	No Product
Allegations:	Since 2012, Johnson has recorded 6,102 solicited trades and 48 unsolicited trades for an investment adviser's client accounts. The 6,102 trades executed by Johnson in the investment adviser's client accounts were marked inconsistent with Stifel's policy resulting in inaccurate trade blotter records. In total, between 2012 and 2017, \$1,072,894.78 in commissions were assessed on trades in the investment adviser's client accounts.
Current Status:	Final
Resolution:	Consent



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:

12/19/2018

Sanctions Ordered:

Other: For a period of three (3) years, Johnson will be: placed on heightened supervision, will not possess or exercise discretion in the handling of Massachusetts brokerage customer accounts, and will not have any principal, supervisory, or managerial duties while associated with Stifel.

Regulator Statement

For a period of three (3) years, Johnson will be: placed on heightened supervision, will not possess or exercise discretion in the handling of Massachusetts brokerage customer accounts, and will not have any principal, supervisory, or managerial duties while associated with Stifel.

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Reporting Source:

Individual

Regulatory Action Initiated By:

Massachusetts Securities Division

Sanction(s) Sought:

Other: Heightened Supervision

Date Initiated:

12/19/2018

Docket/Case Number:

2018-0142

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

Stifel, Nicolaus & Company, Inc.

Product Type:

No Product

Allegations:

Solely in connection with representative's broker-dealer agent registration with the Massachusetts Securities Division (Division), representative consented to the entry of a Consent Order (Order) by the Division and agreed to be supervised on a heightened basis for a period of three years from the date of the entry of the Order. The conduct underlying the Order involved marking trades inconsistent with company policy.

Current Status:

Final

Resolution:

Consent

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:

12/19/2018

Sanctions Ordered:

Other: Heightened Supervision



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 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: A. G. EDWARDS & SONS, INC.

Allegations: ALLEGED SUITABILITY.

Product Type: Equity - OTC

Other Product Type(s): MUTUAL FUNDS; BONDS

Alleged Damages: \$19,768.00

Customer Complaint Information

Date Complaint Received: 06/30/2003

Complaint Pending? No

Status: Closed/No Action

Status Date: 07/01/2005

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: THOMASON MCKINNON SECURITIES, INC.

Allegations: 28,069.21 ALLEGED DAMAGE, UNSUITABILITY AND MISREPRESENTATION

Product Type:

Alleged Damages: \$28,069.21

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 04/25/1998

Settlement Amount:

Individual Contribution Amount:



Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 87-645

Date Notice/Process Served: 05/20/1987

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/25/1988

Monetary Compensation Amount: \$18,797.00

Individual Contribution Amount:

Broker Statement \$18,797.00
U4 FORM FILING COMMENT: SETTLED IN NASD ARBITRATION FOR \$18,797.00. THOMSON RECOMMENDED DAMSON ENERGY INCOME LIMITED PARTNERSHIP IN THE LATE 70'S, EARLY 80'S AS A CONSERVATIVE INCOME INVESTMENT. ENERGY PRICES COLLAPSED AS DOCUMENTED IN THE MID-80'S. IN MAY 1985 DAMSON L.P. WAS CONVERTED TO A MASTER L.P. AND LISTED ON THE AMERICAN STOCK EXCHANGE. THE STOCK COLLAPSED AND A BRANCH AUDIT WAS ORDERED BY THE VERMONT BANKING AND INSURANCE COMMISSIONER. THUS, DAMSON INVESTORS WERE NOTIFIED OF THEIR RIGHT TO PRESENT ANY GRIEVANCES DIRECTLY TO THOMSON OR THE NASD. 300 BRANCH INVESTORS WERE NOTIFIED, TWO OF MR. JOHNSON'S CLIENTS RESPONDED. THERE WERE NO COMPLAINTS BEFORE OR AFTER.

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: THOMSON MCKINNON SECURITIES INC.

Allegations:

Product Type:

Alleged Damages: \$16,000.00

Customer Complaint Information

Date Complaint Received: 01/15/1987

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$13,794.14

Individual Contribution Amount:

Firm Statement "IN JULY 1986,



THE STATE OF VERMONT DEPARTMENT OF BANKING AND INSURANCE AUDITED THE BURLINGTON BRANCH OF THOMSON MCKINNON SECURITIES INC. ('TMSI') TO DETERMINE WHETHER IMPROPRIETIES OCCURRED IN THE MARKETING OF LIMITED PARTNERSHIP INTERESTS IN DAMSON OIL AND GAS INCOME FUNDS FROM MAY 1980 THROUGH DECEMBER 1984. AS A RESULT OF THE AUDIT, THE STATE OF VERMONT AND THOMSON MCKINNON ENTERED INTO A MUTUAL AGREEMENT PROVIDING, AMONG OTHER THINGS, THAT ALL INVESTORS BE NOTIFIED OF THE AUDIT AND INVITED TO PRESENT ANY SUCH GRIEVANCES FOR EITHER NASD ARBITRATION OR TO APPROACH TMSI DIRECTLY FOR POSSIBLE SUMMARY RESOLUTION WITHOUT ARBITRATION. IN RESPONSE TO THIS MASS NOTIFICATION, MR. JOHNSON BECAME THE SUBJECT OF A CUSTOMER COMPLAINT BROUGHT BY [CUSTOMERS], ALLEGING MISREPRESENTATION AND UNSUITABILITY IN CONNECTION WITH THE SALE OF \$16,000 OF A DAMSON OIL & GAS LIMITED PARTNERSHIP INCOME FUND. THOMSON MCKINNON REIMBURSED [CUSTOMER], SOLELY ON THE GROUNDS OF UNSUITABILITY, IN THE AMOUNT OF \$13,794.14, WHICH REPRESENTS THE PRINCIPAL AMOUNT OF THEIR INVESTMENT, LESS DISTRIBUTIONS, PLUS INTEREST." "COMPLAINT FOR \$10,000 OR MORE RE: DAMSON WHICH HAS BEEN DENIED: LESAGE, MAURICE & AURORE, \$10,000."

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Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	THOMSON MCKINNON SECURITIES INC.
Allegations:	MISREPRESENTATION & UNSUITABILITY IN PURCHASE OF DAMSON OIL & GAS INCOME LIMITED PARTNERSHIP CLAIM OF \$16,000
Product Type:	
Alleged Damages:	\$16,000.00
Customer Complaint Information	
Date Complaint Received:	01/15/1987
Complaint Pending?	No
Status:	Settled
Status Date:	
Settlement Amount:	\$13,794.14
Individual Contribution Amount:	
Broker Statement	THOMSON MCKINNON REIMBURSED THE [CUSTOMERS] IN THE AMOUNT OF \$13,794.14 ON OR ABOUT MAY 1985 DAMSON LIMITED PARTNERSHIP WAS CONSOLIDATED INTO A MASTER LIMITED PARTNERSHIP & LISTED ON



THE AMERICAN STOCK EXCHANGE. WHEN THE VALUE COLLAPSED THE
VERMONT BANKING INSURANCE DEPT. AUDITED THE THOMSON
BURLINGTON
VERMONT BRANCH. AS A RESULT ALL INVESTORS OF DAMSON WERE
NOTIFIED OF THEIR RIGHT TO PRESENT ANY GRIEVANCES DIRECTLY TO
THOMSON OR ARBITRATION. OVER 300 INVESTORS WERE NOTIFIED.
ABOVE
IS A RESULT. THERE HAVE BEEN NO ADDITIONAL COMPLAINTS BEFORE OR
AFTER.
3/20/91+ REQ'D AMENDED PAGE THREE REC'D FROM A.G. EDWARDS &
SONS, INC. WITH PROPER SIGNATURES.



End of Report

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