

BrokerCheck Report

TIMOTHY CRAIG LOSKILL

CRD# 1318063

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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.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**TIMOTHY C. LOSKILL**

CRD# 1318063

Currently employed by and registered with the following Firm(s):

IA WELLS FARGO ADVISORS
 520 NEWPORT CENTER DR STE 1700
 NEWPORT BEACH, CA 92660
 CRD# 19616
 Registered with this firm since: 05/28/2008

B WELLS FARGO CLEARING SERVICES, LLC
 520 NEWPORT CENTER DR STE 1700
 NEWPORT BEACH, CA 92660
 CRD# 19616
 Registered with this firm since: 05/27/2008

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications**This broker is registered with:**

- 6 Self-Regulatory Organizations
- 25 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History**This broker was previously registered with the following securities firm(s):**

- IA UBS FINANCIAL SERVICES INC.**
 CRD# 8174
 WEEHAWKEN, NJ
 04/2002 - 06/2008
- B UBS FINANCIAL SERVICES INC.**
 CRD# 8174
 NEWPORT BEACH, CA
 10/2001 - 06/2008
- B A. G. EDWARDS & SONS, INC.**
 CRD# 4
 ST. LOUIS, MO
 03/1996 - 10/2001

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Civil Event	1



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 6 SROs and is licensed in 25 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **WELLS FARGO CLEARING SERVICES, LLC**

Main Office Address: **ONE NORTH JEFFERSON AVENUE
MAIL CODE: H0004-05E
ST. LOUIS, MO 63103**

Firm CRD#: **19616**

SRO	Category	Status	Date
B Cboe Exchange, Inc.	General Securities Representative	Approved	11/30/2021
B FINRA	General Securities Representative	Approved	05/27/2008
B NYSE American LLC	General Securities Representative	Approved	07/29/2011
B Nasdaq PHLX LLC	General Securities Representative	Approved	09/30/2011
B Nasdaq Stock Market	General Securities Representative	Approved	05/27/2008
B New York Stock Exchange	General Securities Representative	Approved	05/27/2008

U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	05/27/2008
B California	Agent	Approved	05/27/2008
IA California	Investment Adviser Representative	Approved	05/28/2008
B Colorado	Agent	Approved	05/27/2008
B Florida	Agent	Approved	04/07/2009
B Georgia	Agent	Approved	07/20/2023
B Idaho	Agent	Approved	04/15/2020

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Illinois	Agent	Approved	07/17/2009
B	Louisiana	Agent	Approved	04/08/2024
B	Massachusetts	Agent	Approved	05/27/2008
B	Missouri	Agent	Approved	05/27/2008
B	Montana	Agent	Approved	03/10/2025
B	Nebraska	Agent	Approved	05/27/2008
B	Nevada	Agent	Approved	05/13/2016
B	New Jersey	Agent	Approved	05/27/2008
B	New Mexico	Agent	Approved	08/09/2023
B	North Carolina	Agent	Approved	07/10/2020
B	Ohio	Agent	Approved	12/21/2010
B	Oregon	Agent	Approved	05/27/2008
B	South Carolina	Agent	Approved	08/19/2024
B	Tennessee	Agent	Approved	11/04/2021
B	Texas	Agent	Approved	05/27/2008
IA	Texas	Investment Adviser Representative	Restricted Approval	06/26/2014
B	Utah	Agent	Approved	06/12/2025
B	Virginia	Agent	Approved	12/10/2022
B	Washington	Agent	Approved	11/26/2008
B	Wisconsin	Agent	Approved	05/27/2008

Broker Qualifications



Employment 1 of 1, continued

Branch Office Locations

WELLS FARGO CLEARING SERVICES, LLC
520 NEWPORT CENTER DR STE 1700
NEWPORT BEACH, CA 92660



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

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	10/01/2018
B National Commodity Futures Examination	Series 3	08/30/1990
B General Securities Representative Examination	Series 7	01/19/1985

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	06/02/2015
B Uniform Securities Agent State Law Examination	Series 63	12/06/1985

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

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

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 04/2002 - 06/2008	UBS FINANCIAL SERVICES INC.	8174	NEWPORT BEACH, CA
B 10/2001 - 06/2008	UBS FINANCIAL SERVICES INC.	8174	NEWPORT BEACH, CA
B 03/1996 - 10/2001	A. G. EDWARDS & SONS, INC.	4	ST. LOUIS, MO
B 03/1994 - 04/1996	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
B 07/1993 - 02/1994	SMITH BARNEY SHEARSON INC.	7059	NEW YORK, NY
B 05/1988 - 07/1993	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
B 09/1987 - 05/1988	E. F. HUTTON & COMPANY INC	235	
B 08/1986 - 03/1987	J. W. GANT & ASSOCIATES, INC.	7963	
B 02/1987 - 02/1987	PAINEWEBBER INCORPORATED	8174	
B 05/1986 - 08/1986	WILSON-DAVIS & CO., INC.	3777	
B 03/1985 - 07/1986	TIDD, LACKEY AND CO., INC.	16014	
B 01/1985 - 02/1985	BARABAN SECURITIES, INC.	7659	

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
11/2016 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	NEWPORT BEACH, CA, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	NEWPORT BEACH, CA, United States

Registration and Employment History



Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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 Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Civil Event	0	1	0



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Civil - Final

This type of disclosure event involves (1) an injunction issued by a court in connection with investment-related activity, (2) a finding by a court of a violation of any investment-related statute or regulation, or (3) an action brought by a state or foreign financial regulatory authority that is dismissed by a court pursuant to a settlement agreement.

Disclosure 1 of 1

Reporting Source:	Regulator
Initiated By:	CA
Relief Sought:	
Other Relief Sought:	
Date Court Action Filed:	12/01/1986
Product Type:	
Other Product Types:	
Court Details:	Not Provided Not Provided
Employing firm when activity occurred which led to the action:	TIDD, LACKEY AND CO., INC.
Allegations:	Not Provided
Current Status:	Final
Resolution:	Other
Resolution Date:	05/01/1987
Sanctions Ordered or Relief Granted:	

**Other Sanctions:****Sanction Details:**

Not Provided

Regulator Statement

oN 2/20/87 AN ORDER ISSUED ENJOINING tidd,
 LACKEY & CO., INC, A CALIFORNIA CORPORATION; JACK COMMODORE
 LACKEY JR; JOHN TIDD LACKEY; DAVID MOORE LACKEY ;HOWARD
 EDWARD
 NATHAN; DAVID JAMES HAEHN; BERNARD JOHN KELLEY; TIM LOSKILL;
 MARK MEDEARIS; JENMING GEE; DONALD JOHN EVANS FROM (A)
 OFFERING
 TO SELL OR SELLING SHARES OF STOCK STOCK OF HAMMER
 TECHNOLOGIES, INC; HAMMER COMPUTER SYSTEMS, TEXAS STATE
 VIDEO,
 VENTURE FUNDING OR CHANCELLOR COMPUTER BY MEANS OF THE
 MANIPULATIVE, DECEIPTIVE OR FRAUDULENT SCHEME OR DEVICE;
 (B)OFFERING TO SELL OR SELLING SHARES OF STOCK OF THE ABOVE
 NAMED COMPANIES WHILE ACTING AS A BROKER-DEALER OR AGENT, BY
 MEANS OF ANY WRITTEN OR ORAL COMMUNICATION OF ANY KIND
 WHATSOEVER WHICH INCLUDES AN UNTRUE STATEMENT OF ANY
 MATERIAL
 FACT OR OMITTS OR FAILS TO STATE ANY MATERIAL FACT NECESSARY IN
 IN ORDER TO MAKE THE STATEMENTS MADE IN LIGHT OF THE
 CIRCUMSTANCES UNDER WHICH THEY WERE MADE NOT MISLEADING,
 INCLUDING BUT NOT LIMITED TO THE MISREPRESENTATIION AND
 FAILURES TO DISCLOSE; (C) OFFERING TO SELL OR SELLING SHARES OF
 STOCK OF THE ABOVE NAMED COMPANIES BY REPRESENTATIONS MADE
 TO
 INDUCE THE PURCHASE OF ANY SUCH SECURITY THAT THE PRICE OF ANY
 SUCH SECURITY WILL OR IS LIKELY TO RISE OR FALL BECAUSE OF
 MARKET OPERATIONS OF DEFENDANT TIDD, LACKEY OR ANY PERSON
 FOR
 THE PURPOSE OF RAISING THE PRICE OF SUCH SECURITY; AND (D)
 DESTROYING, MUTILATING, CONCEALING, ALTERING, TRANSFERRING, OR
 OTHERWISE DISPOSING OF, IN ANY MANNER, ANY BOOKS RECORDS,
 DOCUMENTS, CORRESPONDENCE, BROCHURES, MANUALS, OR OTHER
 DOCUMENTS OF ANY KIND RELATING TO THE TRANSACTIONS
 COMPLAINED
 OF IN THE POSSESSION, CUSTODY OR CONTROL OF ANY OF THE
 DEFENDANTS. THE ORDER HAS BEEN VACATED BY STIPULATION AS TO
 DEFENDANT TIM LOSKILL AS OF 5/1/87. HOWEVER, THE ORDER OF
 PRELIMINARY INJUNCTION WAS EFFECTIVE AS TO TIM LOSKILL FOR THE
 PERIOD 2/20/87 TO 5/1/87.



Reporting Source:	Broker
Initiated By:	STATE OF CALIFORNIA, COMMISSIONER OF CORPORATIONS
Relief Sought:	
Other Relief Sought:	
Date Court Action Filed:	12/01/1986
Product Type:	
Other Product Types:	
Court Details:	CASE # 341663
Employing firm when activity occurred which led to the action:	TIDD, LACKEY AND CO., INC.
Allegations:	MISREPRESENTATION AND FAILURES TO DISCLOSE
Current Status:	Final
Resolution:	Other
Resolution Date:	05/01/1987
Sanctions Ordered or Relief Granted:	
Other Sanctions:	
Sanction Details:	THE COURT VACATED TIM LOSKILL AS DEFENDENT
Broker Statement	Not Provided

End of Report



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