

BrokerCheck Report

Timothy James Finucan

CRD# 1586731

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

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 J. Finucan
CRD# 1586731

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

- B

EDWARD JONES
508 SECOND STREET
WEBSTER CITY, IA 50595
CRD# 250
Registered with this firm since: 11/21/1986
- IA

EDWARD JONES
508 SECOND STREET
WEBSTER CITY, IA 50595
CRD# 250
Registered with this firm since: 01/18/2007

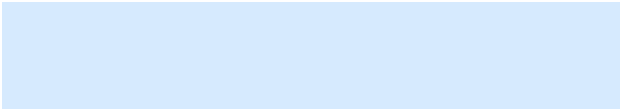
Report Summary for this Broker

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:

- 4 Self-Regulatory Organizations
- 42 U.S. states and territories



This broker has passed:

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

Registration History

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

No information reported.

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
Customer Dispute	2



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 4 SROs and is licensed in 42 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **EDWARD JONES**

Main Office Address: **12555 MANCHESTER ROAD
ST. LOUIS, MO 63131-3710**

Firm CRD#: **250**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	11/21/1986
B	NYSE American LLC	General Securities Representative	Approved	09/13/2011
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	11/21/1986

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	03/05/2021
B	Alaska	Agent	Approved	10/23/2014
B	Arizona	Agent	Approved	12/22/1988
B	Arkansas	Agent	Approved	08/08/1996
B	California	Agent	Approved	02/28/1989
B	Colorado	Agent	Approved	10/27/1992
B	Delaware	Agent	Approved	06/13/2013
B	District of Columbia	Agent	Approved	10/05/2009
B	Florida	Agent	Approved	03/06/1989

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Georgia	Agent	Approved	01/01/1997
B	Hawaii	Agent	Approved	07/23/2004
B	Idaho	Agent	Approved	05/01/2023
B	Illinois	Agent	Approved	10/05/1987
B	Indiana	Agent	Approved	02/23/1990
B	Iowa	Agent	Approved	02/19/1987
IA	Iowa	Investment Adviser Representative	Approved	01/18/2007
B	Kansas	Agent	Approved	06/04/1996
B	Maryland	Agent	Approved	06/01/2005
B	Massachusetts	Agent	Approved	04/11/2011
B	Michigan	Agent	Approved	04/13/2004
B	Minnesota	Agent	Approved	03/27/1989
B	Mississippi	Agent	Approved	11/05/1993
B	Missouri	Agent	Approved	10/18/1995
B	Montana	Agent	Approved	05/30/2007
B	Nebraska	Agent	Approved	02/09/1996
B	Nevada	Agent	Approved	10/08/1996
B	New Mexico	Agent	Approved	02/22/2002
B	New York	Agent	Approved	12/03/1998
B	North Carolina	Agent	Approved	12/10/1996
B	Ohio	Agent	Approved	03/14/1994



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Oklahoma	Agent	Approved	10/30/1997
B	Oregon	Agent	Approved	02/11/1993
B	Pennsylvania	Agent	Approved	07/08/1994
B	South Carolina	Agent	Approved	02/18/2004
B	South Dakota	Agent	Approved	10/19/1993
B	Tennessee	Agent	Approved	03/25/1999
B	Texas	Agent	Approved	01/20/1988
IA	Texas	Investment Adviser Representative	Restricted Approval	08/26/2014
B	Utah	Agent	Approved	09/16/1998
B	Vermont	Agent	Approved	04/19/2021
B	Virginia	Agent	Approved	07/05/1990
B	Washington	Agent	Approved	02/10/2010
B	West Virginia	Agent	Approved	07/22/2014
B	Wisconsin	Agent	Approved	01/06/1987

Branch Office Locations

EDWARD JONES
 508 SECOND STREET
 WEBSTER CITY, IA 50595



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.

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
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	11/15/1986

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	12/01/2006
B Uniform Securities Agent State Law Examination	Series 63	12/05/1986

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
No information reported.			

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
07/1986 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	WEBSTER CITY, IA, United States

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.

blind bear llc
Type of business: own a farm in Indiana
guilford, IN
Start date: 6/1/2016
partner
Hours per week: 0
Hours during trading: 0
Maintain property.***

commercial rental property
webster city, IA
Start date: 3/13/2017
owner
Hours per week: 0
Hours during trading: 0
Maintain property***



Registration and Employment History

Other Business Activities, continued

commercial property wis.

Type of business: land

altoona, WI

Start date: 10/1/2017

investor

Hours per week: 0

Hours during trading: 0

passive investor. it is undeveloped land.***

Finucan Farms

Type of business: Farming

Webster City, IA

Start date: 3/1/1997

Owner

Hours per week: 2

Hours during trading: 0

This is rental income from farms that I own.***

Finucan/Russell Farms

Type of business: Recreational Farms

Central & Southern IA, IA

Start date: 1/1/2006

Owners

Hours per week: 1

Hours during trading: 0

this is rental income from recreational farms.***

Lower Range Creek LLC

Type of business: Utah Ranch

RANGE CREEK / EMERY COUNTY, IA

Start date: 7/20/2008

PARTNER

Hours per week: 0

Hours during trading: 0

THIS IS A HUNTING/RECREATIONAL PROPERTY IN THE MOUNTAINS IN UT.***

utah west ridge llc

Type of business: llc

east carbon, UT

Start date: 4/1/2012

partner

Hours per week: 0

Hours during trading: 0



Registration and Employment History

Other Business Activities, continued

No responsibilities***

Lenexa retirement community

Type of business: this is a retirement community
overland park, KS

Start date: 10/20/2017

LPT

Hours per week: 0

Hours during trading: 0***

smart rx

Type of business: dist of prescription meds
williams, IA

Start date: 10/17/2017

LPT

Hours per week: 0

Hours during trading: 0

"Denver Property

Type of business: Res/Commercial Property
Denver, CO

Start date: 11/12/2019

part owner

Hours per week: 0

Hours during trading: 0

part owner of a building that will be zoned - commercial and residential (business below/ apartments above.)"

First Flight LLC

Type of business: Farm/Ranch/Trailer Park
Spring City, UT

Start date: 1/7/2019

Co Owner

Hours per week: 0

Hours during trading: 0

Very Limited Farm ground will be rented.

First Light LLC

Type of business: Farm/Ranch/Trailer Park
Spring Valley, UT

Start date: 7/7/2019

Co Owner

Hours per week: 0

Hours during trading: 0

Registration and Employment History



Other Business Activities, continued

Very Limited. Farm Ground will be rented. Trailer Park - Rental Property

Lower Range Creek LLC

Type of business: Utah Ranch

RANGE CREEK / EMERY COUNTY, IA

Start date: 7/20/2008

PARTNER

Hours per week: 0

Hours during trading: 0

THIS IS A HUNTING/RECREATIONAL PROPERTY

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:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o 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.
 - o
- 3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o 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.
 - o
- 4. **There are different statuses and dispositions for disclosure events:**
 - o 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.
 - o 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
Customer Dispute	0	2	N/A



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.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: THE TRUSTEE ON THIS ACCOUNT ALLEGED THAT THE FA MADE UNAUTHORIZED BOND PURCHASES IN THE ACCOUNTS FROM SEPTEMBER 2006 THROUGH JULY OF 2007. THE TRUSTEE ALLEGED THAT THERE WERE \$117,000.00 WORTH OF BONDS PURCHASED DURING THIS TIME PERIOD AND SHE WANTS THE BONDS LIQUIDATED AND TO BE MADE WHOLE FOR ANY LOSSES ASSOCIATED WITH THESE PURCHASES.

Product Type: Debt - Corporate

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 03/24/2008

Complaint Pending? No

Status: Settled

Status Date: 06/17/2008

Settlement Amount: \$8,445.39

Individual Contribution Amount: \$6,000.00

Broker Statement THE FA STATED THAT HE ACCEPTED TRADES FROM THE SON OF THE



TRUSTEE ON THIS ACCOUNT THINKING THAT HE WAS LISTED AS A CO-TRUSTEE ON THE ACCOUNT. THESE TRADES TOOK PLACE APPROXIMATELY TWO YEARS AGO AND THE CLIENT (TRUSTEE) RECEIVED TRADE CONFIRMATIONS AND STATEMENTS DURING THIS PERIOD OF TIME DISCLOSING THE TRANSACTIONS. THE CLIENT ELECTED TO SELL THE BONDS AND WE MADE HER WHOLE ON THE INITIAL PURCHASE AMOUNT.



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	CLIENT ALLEGES AFTER INHERITING A STOCK PORTFOLIO, THREE STOCK POSITIONS WERE TRANSFERRED TO A MANAGED ACCOUNT PROGRAM AND LIQUIDATED, SHE INFERS THE TRADES WERE WITHOUT HER AUTHORIZATION. BASED ON THE DATE OF DEATH COST BASIS, SHE INDICATES THE EQUITY TRADES HAVE RESULTED IN CAPITAL GAINS TAX AND LOSS OF DIVIDENDS FROM THE STOCKS BETWEEN JULY 2011 AND SEPTEMBER 2012. BASED ON HER CALCULATIONS, SHE IS REQUESTING \$45,444 IN LOST INCOME, LOST STOCK VALUE AND TAXES.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	\$5,000.00 OR MORE
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:	11/09/2012
Complaint Pending?	No
Status:	Denied
Status Date:	03/13/2013
Settlement Amount:	\$0.00



**Individual Contribution
Amount:**

Broker Statement

AFTER COMPLETION OF THE FIRM'S INVESTIGATION INTO THE CLIENT'S ALLEGATIONS IT WAS DETERMINED THE CLIENT AUTHORIZED THE TRADES IN QUESTION, POTENTIAL TAX CONSEQUENCES WERE DISCUSSED AND THE ACCOUNT WAS INVESTED APPROPRIATELY. THE CLIENT'S CLAIM WAS DENIED.

End of Report



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