

## BrokerCheck Report

**Timothy D. Johnson**

CRD# 2827259

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).



**Timothy D. Johnson**  
CRD# 2827259

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

- IA EDWARD JONES**  
701 W BROADWAY AVE  
MOSES LAKE, WA 98837  
CRD# 250  
Registered with this firm since: 02/09/2007
- B EDWARD JONES**  
701 W BROADWAY AVE  
MOSES LAKE, WA 98837  
CRD# 250  
Registered with this firm since: 01/03/1997

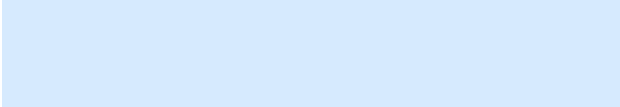
Report Summary for this Broker

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
- 25 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 25 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	01/03/1997
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	02/13/1997

	U.S. State/ Territory	Category	Status	Date
B	Alaska	Agent	Approved	12/15/2010
B	Arizona	Agent	Approved	04/22/1997
B	California	Agent	Approved	04/21/1997
B	Colorado	Agent	Approved	06/18/2025
B	Florida	Agent	Approved	03/13/2007
B	Georgia	Agent	Approved	07/18/2022
B	Hawaii	Agent	Approved	11/02/2022
B	Idaho	Agent	Approved	04/21/1997
B	Kansas	Agent	Approved	04/30/2013

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Minnesota	Agent	Approved	05/28/2019
B	Missouri	Agent	Approved	04/10/2024
B	Montana	Agent	Approved	08/15/1997
B	Nebraska	Agent	Approved	11/16/2021
B	Nevada	Agent	Approved	04/06/1999
B	New Mexico	Agent	Approved	04/26/2024
B	New York	Agent	Approved	03/11/2025
B	North Dakota	Agent	Approved	11/16/2021
B	Ohio	Agent	Approved	11/07/2024
B	Oklahoma	Agent	Approved	06/21/2004
B	Oregon	Agent	Approved	04/21/1997
B	Texas	Agent	Approved	01/06/2004
IA	Texas	Investment Adviser Representative	Restricted Approval	12/10/2018
B	Utah	Agent	Approved	09/06/2000
B	Virginia	Agent	Approved	12/14/2015
B	Washington	Agent	Approved	01/22/1997
IA	Washington	Investment Adviser Representative	Approved	02/09/2007
B	Wisconsin	Agent	Approved	03/15/2021

### Branch Office Locations

**EDWARD JONES**  
701 W BROADWAY AVE

## Broker Qualifications



### Employment 1 of 1, continued

MOSES LAKE, WA 98837

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## 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, 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>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	12/30/1996

### State Securities Law Exams

Exam	Category	Date
<b>B</b> <b>IA</b> Uniform Combined State Law Examination	Series 66	01/26/2007
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	12/31/1996

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/](http://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
10/1996 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	MOSES LAKE, WA, 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.

Black Horse Properties LLC  
 Type of business: Com Prop.  
 Moses Lake, WA  
 Start date: 6/3/2009  
 Manager  
 Hours per week: 4  
 Hours during trading: 0  
 Maintain 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:**
  - 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
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 - 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 2

**Reporting Source:** Broker

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

**Allegations:** 4/00-2/09; CLIENT CLAIMS HE ALWAYS FOLLOWED THE ADVICE OF THE FA TO STAY INVESTED BUT HE CONTINUED TO BE CONCERNED WITH THE MARKET AND THE DECLINE IN VALUE OF HIS STOCKS. HE MET WITH FA AND CHANGES WERE MADE TO MUTUAL FUNDS. CLIENT CLAIMS THEY INITIALLY INCREASED IN VALUE AND AS HE WAS STILL WORRIED ABOUT THE MARKET WANTED TO GET OUT. THE FA CONTINUED TO ADVISE TO HOLD. CLIENT CLAIMS THE VALUES DROPPED AND HE WAS DOWN \$60,000 FROM WHERE THE VALUE WAS WHEN HE WANTED TO SELL. CLIENT NOW CLAIMS, AFTER SPEAKING WITH ANOTHER FINANCIAL ADVISOR, HE WAS NOT INVESTED CORRECTLY FOR HIS AGE AND HE SHOULD NOT HAVE BEEN PLACED IN "HIGH RISK, HIGH GAIN" INVESTMENTS. CLIENT IS ASKING FOR LOSSES. CLAIM EXCEEDS \$5,000

**Product Type:** Mutual Fund

**Alleged Damages:** \$60,000.00

**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:** 02/18/2009

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 05/29/2009

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

OUR RECORDS INDICATE THE ACCOUNT WAS ESTABLISHED IN APRIL 2000 AND FUNDED WITH STOCKS TRANSFERRED FROM CLIENT'S MOTHER'S ACCOUNT. FA STATED, AS THE STOCKS WERE PRIMARILY TELECOM STOCKS, HE SUGGESTED (OVER A NUMBER YEARS) LIQUIDATING THE SHARES AND DIVERSIFYING PORTFOLIO. FA INDICATED CLIENT FINALLY DECIDED TO MAKE CHANGES TO PORTFOLIO AND WANTED TO FOCUS ON OBTAINING GROWTH. BASED ON DISCUSSIONS INVESTMENTS WERE MADE IN GROWTH AND GROWTH AND INCOME FUNDS WITH AMERICAN FUNDS IN 2006. CLIENT WOULD HAVE BEEN PROVIDED WITH PROSPECTUSES WHICH DETAIL THE FUNDS TO INCLUDE RISKS. ACCORDING TO FA, WHILE CLIENT DID LATER HAVE DISCUSSIONS REGARDING THE MARKET AND CLIENT'S ACCOUNT, CLIENT AT NO TIME INSTRUCTED HIM TO LIQUIDATE HOLDINGS. HE FURTHER STATED HE REVIEWED THE PROS AND CONS OF ATTEMPTING TO TIME THE MARKET AS OPPOSED TO INVESTING OVER THE LONG-TERM. CLIENT HAS BEEN PROVIDED WITH CLIENT STATEMENTS DURING THE PERIOD IN QUESTION REFLECTING THE HOLDINGS IN CLIENT'S ACCOUNT TO INCLUDE THE ASSET CATEGORIES. OUR RECORDS DO NOT REFLECT PORTFOLIO WAS INVESTED IN HIGH RISK/HIGH GAIN INVESTMENTS AS CLIENT HAS INDICATED IN LETTER AND THE INVESTMENTS DO APPEAR TO BE WITHIN THE SCOPE OF STATED INVESTMENT OBJECTIVES. WHILE WE UNDERSTAND DISSATISFACTION WITH THE PERFORMANCE OF ACCOUNT, MARKET FLUCTUATION IS A RISK ASSOCIATED WITH INVESTING. BASED ON OUR REVIEW, THE INVESTMENTS WERE PURCHASED BASED ON INFORMATION PROVIDED BY CLIENT AT THE TIME OF THE TRADES AND THE ORDERS WERE PLACED WITH CLIENT'S AUTHORIZATION. FURTHER, IT APPEARS NO SPECIFIC ORDER INSTRUCTIONS WERE GIVEN TO FA TO LIQUIDATE ACCOUNT.

## Disclosure 2 of 2

**Reporting Source:** Broker



**Employing firm when activities occurred which led to the complaint:**

EDWARD JONES

**Allegations:**

THE CLIENT STATES THE FA CONTACTED HIM IN AUGUST 07 TO PURCHASE WM. THE CLIENT STATES THE FA KNEW HE ONLY WAS INTERESTED IN SECURITIES THAT HAD A "BUY" OPINION. HE STATES HE HAD A LOW RISK TOLERANCE. HE INDICATED HE USUALLY DOES SOME RESEARCH ON SECURITIES BEFORE MAKING A PURCHASE, BUT IN THIS CASE RELIED ON THE FA'S RECOMMENDATION. THE CLIENT STATES THE FA INFORMED HIM THAT WM HAD TAKEN THEIR HIT ON THE SUB PRIME, WERE "CLEAN" AND A GOOD BUY WITH A DIVIDEND. THE CLIENT STATES AFTER THE VALUE BEGAN DECLINING, HE DISCOVERED THE OPINION WAS A "HOLD" AT THE TIME OF THE PURCHASE. THE CLIENT WANTS THE FULL AMOUNT OF THE LOSSES REIMBURSED TO HIM.

**Product Type:**

Equity Listed (Common & Preferred Stock)

**Alleged Damages:**

\$5,000.00

### **Customer Complaint Information**

**Date Complaint Received:**

01/31/2008

**Complaint Pending?**

No

**Status:**

Denied

**Status Date:**

03/19/2008

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

OUR RECORDS INDICATE YOU PURCHASED 1,000 SHARES OF WASHINGTON MUTUAL INC. ON AUGUST 9, 2007. THE FA HAS STATED WHEN ADDITIONAL DISCLOSURES CAME OUT, HE CONTACTED YOU TO REVIEW THE SECURITY. ACCORDING TO THE FA YOU WERE INFORMED YOU HAD THREE OPTIONS; YOU COULD HOLD, LIQUIDATE OR PURCHASE MORE SHARES. THE FA HAS STATED YOU ELECTED TO HOLD THE SHARES. YOU HAVE INDICATED YOU INFORMED THE FA THAT YOU NEVER CONSIDER STOCKS UNLESS THERE WAS A "BUY" OPINION. THE FA INDICATES HE WAS NOT INFORMED OF YOUR POSITION TO PURCHASE ONLY STOCKS WITH A "BUY" OPINION. ACCORDING TO THE FA, YOU HAD PURCHASED STOCKS PREVIOUSLY IN YOUR JOINT ACCOUNT THAT DID NOT HAVE A "BUY" OPINION. BASED ON OUR REVIEW, IT DOES NOT APPEAR THE FA WAS AWARE OF YOUR INTENTION TO PURCHASE SECURITIES WITH ONLY A "BUY" OPINION. IT IS OUR UNDERSTANDING



YOU WERE INFORMED OF ADDITIONAL DISCLOSURES ON WASHINGTON MUTUAL, AS SOON AS THEY WERE AVAILABLE, AND GIVEN THE OPTION TO LIQUIDATE, HOLD OR PURCHASE MORE SHARES. WHILE WE UNDERSTAND YOUR DISAPPOINTMENT WITH THE PERFORMANCE OF THE INVESTMENT, THE VALUE OF THESE SHARES ARE ATTRIBUTED TO CIRCUMSTANCES BEYOND OUR CONTROL AND MARKET FLUCTUATION, WHICH IS A RISK ASSOCIATED WITH INVESTING. IN LIGHT OF THESE CIRCUMSTANCES YOUR REQUEST FOR REIMBURSEMENT OF MARKET LOSSES IS RESPECTFULLY DENIED.

## End of Report



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