BrokerCheck Report

Timothy A Jordan

CRD# 7240760

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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 A. Jordan

CRD# 7240760

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

CHARLES SCHWAB & CO., INC.
200 S. 108 Ave
Omaha, NE 68154
CRD# 5393
Registered with this firm since: 07/29/2023

TD AMERITRADE, INC.
200 SOUTH 108TH AVENUE
OMAHA, NE 68154
CRD# 7870
Registered with this firm since: 09/05/2023

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:

- 2 Self-Regulatory Organizations
- 50 U.S. states and territories

This broker has passed:

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

Registration History

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

TD AMERITRADE, INC.
CRD# 7870
ST. LOUIS, MO
05/2020 - 09/2023

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
Criminal	1

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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 2 SROs and is licensed in 50 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **CHARLES SCHWAB & CO., INC.**

Main Office Address: **3000 SCHWAB WAY**
WESTLAKE, TX 76262-8104

Firm CRD#: **5393**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	07/31/2023
B	Nasdaq Stock Market	General Securities Representative	Approved	07/29/2023

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	08/03/2023
B	Alaska	Agent	Approved	07/31/2023
B	Arizona	Agent	Approved	08/10/2023
B	Arkansas	Agent	Approved	08/04/2023
B	California	Agent	Approved	08/01/2023
B	Colorado	Agent	Approved	08/03/2023
B	Connecticut	Agent	Approved	07/31/2023
B	Delaware	Agent	Approved	08/03/2023
B	District of Columbia	Agent	Approved	08/10/2023
B	Florida	Agent	Approved	08/01/2023
B	Georgia	Agent	Approved	08/03/2023

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Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Hawaii	Agent	Approved	09/01/2023
B	Idaho	Agent	Approved	08/02/2023
B	Illinois	Agent	Approved	08/03/2023
B	Indiana	Agent	Approved	08/03/2023
B	Iowa	Agent	Approved	07/31/2023
B	Kansas	Agent	Approved	08/03/2023
B	Kentucky	Agent	Approved	08/04/2023
B	Louisiana	Agent	Approved	08/04/2023
B	Maine	Agent	Approved	08/04/2023
B	Maryland	Agent	Approved	08/04/2023
B	Massachusetts	Agent	Approved	08/01/2023
B	Michigan	Agent	Approved	08/02/2023
B	Minnesota	Agent	Approved	07/31/2023
B	Mississippi	Agent	Approved	08/04/2023
B	Missouri	Agent	Approved	07/31/2023
B	Montana	Agent	Approved	08/14/2023
B	Nebraska	Agent	Approved	07/31/2023
B	New Hampshire	Agent	Approved	08/04/2023
B	New Jersey	Agent	Approved	08/03/2023
B	New Mexico	Agent	Approved	08/04/2023
B	New York	Agent	Approved	08/06/2023

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Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	North Carolina	Agent	Approved	09/05/2023
B	North Dakota	Agent	Approved	08/07/2023
B	Ohio	Agent	Approved	07/31/2023
B	Oklahoma	Agent	Approved	08/07/2023
B	Oregon	Agent	Approved	07/31/2023
B	Pennsylvania	Agent	Approved	08/07/2023
B	Rhode Island	Agent	Approved	08/02/2023
B	South Carolina	Agent	Approved	08/07/2023
B	South Dakota	Agent	Approved	08/07/2023
B	Tennessee	Agent	Approved	08/02/2023
B	Texas	Agent	Approved	07/31/2023
B	Utah	Agent	Approved	07/31/2023
B	Vermont	Agent	Approved	08/03/2023
B	Virginia	Agent	Approved	08/02/2023
B	Washington	Agent	Approved	08/03/2023
B	West Virginia	Agent	Approved	08/21/2023
B	Wisconsin	Agent	Approved	08/02/2023
B	Wyoming	Agent	Approved	08/04/2023

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.

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Broker Qualifications

Employment 2 of 2

Firm Name: **TD AMERITRADE, INC.**

Main Office Address: **200 SOUTH 108TH AVENUE OMAHA, NE 68154**

Firm CRD#: **7870**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	09/05/2023

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	09/05/2023
B	Alaska	Agent	Approved	09/05/2023
B	Arizona	Agent	Approved	09/13/2023
B	Arkansas	Agent	Approved	09/06/2023
B	California	Agent	Approved	09/06/2023
B	Colorado	Agent	Approved	09/12/2023
B	Connecticut	Agent	Approved	09/06/2023
B	Delaware	Agent	Approved	09/27/2023
B	District of Columbia	Agent	Approved	09/15/2023
B	Florida	Agent	Approved	09/06/2023
B	Georgia	Agent	Approved	09/07/2023
B	Hawaii	Agent	Approved	10/02/2023
B	Idaho	Agent	Approved	09/05/2023
B	Illinois	Agent	Approved	09/12/2023
B	Indiana	Agent	Approved	09/05/2023
B	Iowa	Agent	Approved	09/08/2023

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Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Kansas	Agent	Approved	09/12/2023
B	Kentucky	Agent	Approved	09/13/2023
B	Louisiana	Agent	Approved	09/18/2023
B	Maine	Agent	Approved	09/05/2023
B	Maryland	Agent	Approved	09/08/2023
B	Massachusetts	Agent	Approved	09/05/2023
B	Michigan	Agent	Approved	09/13/2023
B	Minnesota	Agent	Approved	09/15/2023
B	Mississippi	Agent	Approved	09/15/2023
B	Missouri	Agent	Approved	09/12/2023
B	Montana	Agent	Approved	09/06/2023
B	Nebraska	Agent	Approved	09/05/2023
B	New Hampshire	Agent	Approved	09/06/2023
B	New Jersey	Agent	Approved	09/13/2023
B	New Mexico	Agent	Approved	09/13/2023
B	New York	Agent	Approved	09/21/2023
B	North Dakota	Agent	Approved	09/18/2023
B	Ohio	Agent	Approved	09/05/2023
B	Oklahoma	Agent	Approved	09/13/2023
B	Oregon	Agent	Approved	09/05/2023
B	Pennsylvania	Agent	Approved	09/07/2023

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Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Rhode Island	Agent	Approved	09/08/2023
B	South Carolina	Agent	Approved	09/13/2023
B	South Dakota	Agent	Approved	09/12/2023
B	Tennessee	Agent	Approved	09/06/2023
B	Texas	Agent	Approved	09/05/2023
B	Utah	Agent	Approved	09/05/2023
B	Vermont	Agent	Approved	09/15/2023
B	Virginia	Agent	Approved	09/06/2023
B	Washington	Agent	Approved	09/13/2023
B	West Virginia	Agent	Approved	09/14/2023
B	Wisconsin	Agent	Approved	09/05/2023
B	Wyoming	Agent	Approved	09/14/2023

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.

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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.

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
	No information reported.		

General Industry/Product Exams

Exam		Category	Date
B	General Securities Representative Examination	Series 7TO	05/18/2020
B	Securities Industry Essentials Examination	SIE	05/11/2020

State Securities Law Exams

Exam		Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	06/30/2020

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/.

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Broker Qualifications

Professional Designations

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

No information reported.

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Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 05/2020 - 09/2023	TD AMERITRADE, INC.	7870	ST. LOUIS, MO

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
07/2023 - Present	CHARLES SCHWAB and CO., INC.	REGISTERED REPRESENTATIVE	Y	Edwardsville, IL, United States
03/2020 - Present	TD Ameritrade	Financial Services Trainee	Y	Edwardsville, IL, United States
03/2019 - 03/2020	Autozone	Sales Associate	N	Edwardsville, IL, United States
05/2018 - 03/2019	SIUE	Student	N	Edwardsville, IL, United States
05/2018 - 08/2018	Slalom	Intern	N	Clayton, MO, United States
08/2017 - 05/2018	SIUE	Student	N	Edwardsville, IL, United States
07/2017 - 08/2017	Capital Education	Data Entry Assistant	N	Chicago, IL, United States
08/2016 - 07/2017	SIUE	Student	N	Edwardsville, IL, United States
05/2015 - 08/2016	Pool Guards Inc.	Life Guard	N	Aurora, IL, United States
03/2010 - 05/2015	Unemployed	Unemployed	N	Channahon, IL, 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.

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Registration and Employment History

Other Business Activities, continued

No information reported.

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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.
   -
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
Criminal	0	1	0

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Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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.

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source:	Broker
Formal Charges were brought in:	State Court
Name of Court:	Madison 3rd Judicial Circuit
Location of Court:	Madison County
Docket/Case #:	17CM002086
Charge Date:	11/25/2017
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Using/Carrying False/Forged Identification
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	No Plea Entered
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	08/16/2018
Disposition Date:	08/16/2018
Sentence/Penalty:	I performed 16 hours of community service and as a result the case was motioned

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to Nolle Prosse and dismissed. The community service was completed in July of 2018 at Food Outreach in St. Louis, Missouri.

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End of Report

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