

BrokerCheck Report

TIMOTHY ALEXIS JOHNSON

CRD# 874358

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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 A. JOHNSON**

CRD# 874358

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

IA STIFEL, NICOLAUS & COMPANY, INCORPORATED
 FIREFLY PROFESSIONAL BLDG., 105
 ROUTE 137
 UNIT A
 EAST HARWICH, MA 02645
 CRD# 793
 Registered with this firm since: 10/30/2012

B STIFEL, NICOLAUS & COMPANY, INCORPORATED
 FIREFLY PROFESSIONAL BLDG., 105
 ROUTE 137
 UNIT A
 EAST HARWICH, MA 02645
 CRD# 793
 Registered with this firm since: 03/30/2009

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:

- 5 Self-Regulatory Organizations
- 28 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):

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

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
Regulatory Event	1
Customer Dispute	3



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 5 SROs and is licensed in 28 U.S. states and territories through his or her employer.

Employment 1 of 1

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

Main Office Address: **501 NORTH BROADWAY
ST. LOUIS, MO 63102**

Firm CRD#: **793**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	03/30/2009
B	NYSE American LLC	General Securities Representative	Approved	03/30/2009
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

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	02/23/2016
B	Arizona	Agent	Approved	02/28/2023
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

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
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	Minnesota	Agent	Approved	03/30/2009
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
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

Broker Qualifications



Employment 1 of 1, continued

U.S. State/ Territory		Category	Status	Date
<div>B</div>	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



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 Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	11/17/1979

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	09/01/2012
B Uniform Securities Agent State Law Examination	Series 63	12/28/1981

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

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
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 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
Regulatory Event	0	1	0
Customer Dispute	0	3	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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker'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.

Reporting Source: Broker

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 - 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 2

Reporting Source: Broker

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 2 of 2**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."

Reporting Source: Broker

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.



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:	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:	

End of Report



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