

IN THE MATTER OF: :

:

DANIEL DAVID TIDWELL, :

:

Respondent. :

Investor Protection Case No. 20-0026-a

Except as set forth in this paragraph, the Unit agrees to refrain from taking any further administrative action against Tidwell based solely on the aforementioned investigation, provided that Tidwell fully complies with the terms and conditions of this Order. Failure to comply with any term of this Order will be a basis for action by the Director.

2. Tidwell is hereby ordered to pay the sum of \$25,000 to the Unit within fourteen (14) days of this Order, such amount representing a fine for his failure to keep his registration records accurate and up to date. The total payment of \$25,000 shall be made by ACH, with payment instructions sent separately, or check made payable to the Delaware Investor Protection Fund and mailed to the Investor Protection Unit, Delaware Department of Justice, 820 N. French Street, 5th Floor, Wilmington, DE 19801, c/o Jillian Lazar.
3. This Order is entered into solely for the purpose of resolving the investigation and is not intended to be used for any other purpose.
4. Tidwell is suspended for ten (10) business days, commencing on November 7, 2022.
5. Tidwell is hereby ordered to refrain from committing any future violations of the Act.
6. Tidwell agrees to submit to heightened supervision for a period of one year, to commence within 30 days of the date of this Order, as follows:
 - a. Janney will place Tidwell on heightened supervision, and Tidwell will comply with its internal policies and procedures regarding heightened supervision; and
 - b. Tidwell will submit quarterly sworn attestations to the Unit confirming whether Tidwell has complied with the terms of his heightened supervision plan and with the Order, as set forth in Exhibit A hereto. For purposes of timing, the first quarter ends, and the sworn attestation is due, three months after the date of this Order; the second quarter ends six months after the date of this Order; the third quarter ending nine months after the date of this Order; and the final quarter ending one year after the date of this Order.
7. Except in an action by the Director to enforce the obligations in this Order, this Order is not intended to be deemed or used as (a) an admission of, or evidence of,

the validity of any alleged wrongdoing or liability; or (b) an admission of, or evidence of, any such alleged fault or omission of Tidwell in any civil, criminal, arbitration, or administrative proceeding in any court, administrative agency, or other tribunal.

8. Tidwell waives any right or ability to seek judicial review with respect to the terms of this Order.

IT IS SO ORDERED, this 28th day of October, 2022.



Jillian Lazar
Investor Protection Director

EXHIBIT A

**BEFORE THE INVESTOR PROTECTION DIRECTOR
OF THE STATE OF DELAWARE**

IN THE MATTER OF: :
 :
 DANIEL DAVID TIDWELL, :
 : Investor Protection Case No. 20-0026-a
 Respondent. :

AFFIDAVIT OF DANIEL DAVID TIDWELL

Daniel David Tidwell, under penalty of perjury, states:

I submit this affidavit based on my personal knowledge and attest as follows:

- 1) My CRD registration records are complete, accurate, and up to date.
- 2) I am abiding by the policies and procedures of Janney Montgomery Scott regarding heightened supervision, including any plan put into place by Janney.
- 3) I am abiding by the terms of the Consent Order and have committed no violations of the Delaware Securities Act or the Rules Pursuant to the Delaware Securities Act.

Daniel David Tidwell

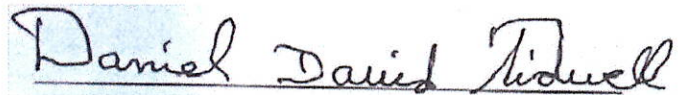
Sworn to before me this _____ day of _____, 202 .

Notary Public

CONSENT TO ENTRY OF CONSENT ORDER

Daniel David Tidwell ("Tidwell") (i) admits the jurisdiction of the Investor Protection Unit in this matter; (ii) acknowledges he has been served a copy of this Order and has read it; (iii) agrees to entry of the Order as a settlement of the issues addressed in the Order; (iv) acknowledges he is aware of its right to a hearing and appeal in this matter under 6 *Del. C.* §§ 73-304, 73-502 or 73-601, and waives this right; and (v) states that no promise of any kind or nature whatsoever that is not reflected in this Consent Order was made in order to induce him to enter into this Consent Order and that he enters into this Consent Order voluntarily.

DANIEL DAVID TIDWELL

A handwritten signature in cursive script that reads "Daniel David Tidwell". The signature is written in dark ink on a light blue rectangular background. Below the signature, there is a thin horizontal line.