BrokerCheck Report

MAGGIE JOY HOOPS

CRD# 3242705

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.

MAGGIE J. HOOPS

CRD# 3242705

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

IA **CHARLES SCHWAB & CO., INC.**
200 S. 108 Ave
Omaha, NE 68154
CRD# 5393
Registered with this firm since: 10/07/2021

B **CHARLES SCHWAB & CO., INC.**
200 S. 108 Ave
Omaha, NE 68154
CRD# 5393
Registered with this firm since: 10/04/2021

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
- 4 U.S. states and territories

This broker has passed:

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

Registration History

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

B **TD AMERITRADE CLEARING, INC.**
CRD# 5633
Omaha, NE
07/2013 - 10/2024

B **TD AMERITRADE, INC.**
CRD# 7870
OMAHA, NE
03/2006 - 07/2024

IA **TD AMERITRADE INVESTMENT MANAGEMENT, LLC**
CRD# 111514
OMAHA, NE
08/2007 - 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? **No**

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 4 U.S. states and territories through his or her employer.

Employment 1 of 1

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 Principal	Approved	10/04/2021
B	FINRA	General Securities Representative	Approved	10/04/2021
B	FINRA	Registered Options Principal	Approved	10/04/2021
B	FINRA	Operations Professional	Approved	10/05/2022
B	Nasdaq Stock Market	General Securities Principal	Approved	10/04/2021
B	Nasdaq Stock Market	General Securities Representative	Approved	10/04/2021
B	Nasdaq Stock Market	Registered Options Principal	Approved	10/04/2021

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	01/09/2022
B	Colorado	Agent	Approved	12/10/2023
B	Florida	Agent	Approved	12/10/2023
B	Nebraska	Agent	Approved	10/07/2021
IA	Nebraska	Investment Adviser Representative	Approved	10/07/2021

Branch Office Locations

Broker Qualifications

Employment 1 of 1, continued

CHARLES SCHWAB & CO., INC.
200 S. 108 Ave
Omaha, NE 68154

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 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	01/09/2004
B	Registered Options Principal Examination	Series 4	08/28/2003

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	National Commodity Futures Examination	Series 3	05/23/2016
B	General Securities Representative Examination	Series 7	03/01/2001

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	08/02/2007
B	Uniform Securities Agent State Law Examination	Series 63	03/08/2001

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	07/2013 - 10/2024	TD AMERITRADE CLEARING, INC.	5633	Omaha, NE
B	03/2006 - 07/2024	TD AMERITRADE, INC.	7870	OMAHA, NE
IA	08/2007 - 09/2023	TD AMERITRADE INVESTMENT MANAGEMENT, LLC	111514	OMAHA, NE
IA	08/2007 - 10/2022	TD AMERITRADE, INC.	7870	OMAHA, NE
B	01/2002 - 03/2006	AMERITRADE, INC.	5633	BELLEVUE, NE
B	09/2002 - 10/2002	DATEK ONLINE FINANCIAL SERVICES LLC	36807	JERSEY CITY, NJ
B	03/2001 - 12/2001	AMERITRADE	36559	BELLEVUE, NE

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
09/2021 - Present	Charles Schwab & Co., Inc.	Investment Adviser Representative / Registered Representative	Y	Omaha, NE, United States
03/2006 - 09/2021	TD WATERHOUSE INVESTORS SERVICES INC	CLIENT SERVICE	Y	FT WORTH, TX, 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.

1) C&CH Excavating, LLC | Investment Related:No|Construction - Industrial Facilities/Infrastructure|Co-Owner|10/10/2020|Less than 20|0|I am a co-owner of the company with my husband Ryan. He is the primary Manager of the company. As such my only responsibilities will be to review

Registration and Employment History

Other Business Activities, continued

and agree to major purchases and sales of equipment, excavating plans, and the like. I am not involved in the daily running of the business., 2) College World Series of Omaha, Inc. | Investment Related:No|808 N. 13th Street|Omaha|NE|68102|USA|Sports/Physical Recreation|Director on the Board of Directors|3/19/2017|Less than 20|0.01|The mission of the CWS of Omaha Inc. Board is to enlist wide-based community support from business, government, civic organizations and individuals to arrange for, implement, promote and operate a successful annual NCAA Division One Baseball Championship ("MCWS"), and to continue to host the MCWS in Omaha in a way that provides a positive economic impact to, enhances the image of and improves the quality of life in Omaha. As a member of the Board of Directors, responsibilities include helping fulfill the stated mission. Board Members are to participate in a meaningful way insubstantially all of the regularly scheduled meetings of the Board and committees upon which the Board member serves. At regularly scheduled Board meetings, the Board reviews and discusses reports by the Executive Committee relating to the performance of CWS, its plans and prospects and issues facing CWS., 3) RM Hoops Inc. DBA Daubert Construction Co., Inc. | Investment Related:No|642 S Howard Ct|Fremont|NE|68025|USA|Construction - Industrial Facilities/Infrastructure|Co-owner/ Vice President & Secretary |6/2/2025|Less than 20|0|Daubert Construction is a steel building construction company that puts up and provides maintenance on metal buildings for industrial or commercial use. I have limited responsibilities as my husband will be primary and running the company. I will be in a support role during non-working hours (nights/weekends) to help assist him and review the activities of the business including construction bids, work in progress and general management of the company.

End of Report

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