IAPD Report

JOSEPH ELDON JOHNSON

CRD# 1412528

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

User Guidance

www.adviserinfo.sec.gov

Report Summary

JOSEPH ELDON JOHNSON (CRD# 1412528)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **12/22/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	09/29/2008
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	01/02/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **33** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	RAYMOND JAMES FINANCIAL SERVICES	6694	CHICAGO, IL	10/01/2008 - 01/02/2009
B	MIDWEST FINANCIAL AND INVESTMENT SERVICES, INC.	30721	ELMWOOD PARK, IL	05/07/2007 - 10/01/2008
IA	MIDWEST FINANCIAL AND INVESTMENT SERVICES, INC.	30721	ELMWOOD PARK, IL	05/07/2007 - 10/01/2008

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	4

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **33** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES, INC.**

Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716

Firm ID#: 6694

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	09/29/2008
B	FINRA	General Securities Representative	Approved	09/29/2008
B	Alabama	Agent	Approved	06/23/2017
B	Arizona	Agent	Approved	09/29/2008
B	California	Agent	Approved	09/29/2008
B	Colorado	Agent	Approved	02/08/2013
B	Florida	Agent	Approved	09/29/2008
B	Georgia	Agent	Approved	02/22/2021
B	Hawaii	Agent	Approved	11/06/2008
B	Illinois	Agent	Approved	09/30/2008
B	Indiana	Agent	Approved	01/10/2013
B	Iowa	Agent	Approved	09/23/2019
B	Kentucky	Agent	Approved	02/22/2012

Qualifications

	Regulator	Registration	Status	Date
B	Louisiana	Agent	Approved	07/20/2009
B	Maine	Agent	Approved	09/25/2019
B	Maryland	Agent	Approved	06/02/2020
B	Michigan	Agent	Approved	06/15/2017
B	Minnesota	Agent	Approved	02/11/2016
B	Mississippi	Agent	Approved	03/23/2015
B	Missouri	Agent	Approved	09/29/2008
B	Montana	Agent	Approved	06/13/2016
B	Nevada	Agent	Approved	04/01/2016
B	New Mexico	Agent	Approved	10/13/2008
B	New York	Agent	Approved	09/24/2019
B	North Dakota	Agent	Approved	07/22/2015
B	Ohio	Agent	Approved	01/19/2024
B	Pennsylvania	Agent	Approved	09/23/2019
B	South Carolina	Agent	Approved	10/01/2019
B	Tennessee	Agent	Approved	02/19/2026
B	Texas	Agent	Approved	07/22/2011
B	Utah	Agent	Approved	11/15/2022
B	Virginia	Agent	Approved	03/22/2016

Qualifications

	Regulator	Registration	Status	Date
B	Washington	Agent	Approved	02/21/2014
B	Wisconsin	Agent	Approved	09/29/2008
B	Wyoming	Agent	Approved	07/16/2021

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
1000 Jorie Blvd.
Suite 208
Oak Brook, IL 60523

RAYMOND JAMES FINANCIAL SERVICES
Venice, FL

RAYMOND JAMES FINANCIAL SERVICES
3416 Harlem Ave
Riverside, IL 60546

Employment 2 of 2

Firm Name:	**RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**
Main Address:	880 CARILLON PARKWAY SAINT PETERSBURG, FL 33716
Firm ID#:	149018

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	02/14/2022
IA	Illinois	Investment Adviser Representative	Approved	01/02/2009
IA	New Mexico	Investment Adviser Representative	Approved	08/29/2012
IA	Texas	Investment Adviser Representative	Restricted Approval	01/04/2018

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
1000 Jorie Blvd.
Suite 208
Oak Brook, IL 60523

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, IN
Venice, FL

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
3416 Harlem Ave

Qualifications

Riverside, IL 60546

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	12/15/1987

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	10/19/1985

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	08/28/1997
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/27/1986

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	10/01/2008 - 01/02/2009	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	CHICAGO, IL
B	05/07/2007 - 10/01/2008	MIDWEST FINANCIAL AND INVESTMENT SERVICES, INC.	CRD# 30721	ELMWOOD PARK, IL
IA	05/07/2007 - 10/01/2008	MIDWEST FINANCIAL AND INVESTMENT SERVICES, INC.	CRD# 30721	ELMWOOD PARK, IL
IA	03/28/2005 - 05/10/2007	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	ELMWOOD PARK, IL
B	01/04/1999 - 05/10/2007	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	ELMWOOD PARK, IL
B	08/14/1989 - 01/04/1999	ROBERT THOMAS SECURITIES, INC	CRD# 10147	ST. PETERSBURG, FL
B	01/10/1989 - 08/17/1989	B C FINANCIAL CORPORATION	CRD# 13460	
B	11/17/1988 - 01/19/1989	POWER SECURITIES CORPORATION	CRD# 15527	
B	10/15/1986 - 11/22/1988	BLINDER, ROBINSON & CO., INC.	CRD# 5096	
B	10/22/1985 - 11/28/1986	DREHER & ASSOCIATES, INC.	CRD# 8665	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2012 - Present	RIVERSIDE FINANCIAL	ACCOUNTING/CPA	N	RIVERSIDE, IL, United States
08/2010 - Present	JOHNSON FINANCIAL STRATEGIES	OWNER	N	NORTH RIVERSIDE, IL, United States
08/2009 - Present	N/A - RENTAL REAL ESTATE	OWNER	N	VENICE, FL, United States
01/2009 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	MASS TRANSFER	Y	RIVERSIDE, IL, United States
10/2008 - Present	INVESTMENT CENTERS OF ILLINOIS	OFFICER/CEO	Y	GLEN ELLYN, IL, United States

 Report about JOSEPH ELDON JOHNSON.

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2008 - Present	NEXT MILLENNIUM, INC.	CEO	N	RIVERSIDE, IL, United States
10/2008 - Present	NON-VARIABLE INSURANCE	AGENT	Y	RIVERSIDE, IL, United States
09/2008 - Present	RAYMOND JAMES FINANCIAL SERVICES	FINANCIAL ADVISOR	Y	GLEN ELLYN, IL, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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)Name of Business: Address: 3416 Harlem Ave, Riverside, IL, 34285, United States Activity Type: Non-variable Insurance Position/Title: Agent Investment Related: Yes Start Date: 10/27/2008 Hours per month devoted to this business: 11-20 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Support company for branch operations
(2)Name of Business: NA Address: 3416 Harlem Ave, Riverside, IL, 60546, United States Activity Type: Rental Real Estate Position/Title: Other Investment Related: Yes Start Date: 08/24/2009 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Land Lord
(3)Name of Business: Next Millennium Address: 3416 Harlem Ave, Riverside, IL, 60546, United States Activity Type: Other Position/Title: Officer - CEO Investment Related: No Start Date: 10/27/2008 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Sell tickets and travel packages. Mostly sports tickets
(4)Name of Business: Riverside Financial Address: 3416 Harlem Ave, Riverside, IL, 60546, United States Activity Type: Accounting/CPA Position/Title: Other Investment Related: No Start Date: 08/03/2012 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Passive participant in revenue

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	4

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Raymond James Financial Services,Inc
Allegations:	Breach of Contract, Common Law Fraud, Breach of Fiduciary Duty, Negligence and Gross Negligence, 8/19/13 - 10/30/15.
Product Type:	Other: Not Applicable, Exchange Traded Funds (ETF)
Alleged Damages:	$50,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	18-01487
Date Notice/Process Served:	04/18/2018
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/25/2018
Monetary Compensation Amount:	$17,651.34
Individual Contribution Amount:	$0.00
Broker Statement	AMOUNT REFLECTED UNDER INDIVIDUAL CONTRIBUTION IS AMOUNT THE

FA IS REQUIRED TO PAY PURSUANT TO CONTRACT SIGNED BY INDIVIDUAL. THIS AMOUNT MAY BE REDUCED BY ERRORS AND OMISSIONS INSURANCE PENDING A FINAL DETERMINATION BY THE E&O COMMITTEE AS TO COVERAGE

Disclosure 2 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES FINANCIAL SERVICES, INC
Allegations:	Client alleges poor recommendations were made contributing to losses in client's retirement plan. Client is seeking to reclaim a portion of the losses incurred.
Product Type:	Other: Exchange Traded Funds
Alleged Damages:	$50,771.27
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:	07/06/2016
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	08/24/2016
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 3 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES FINANCIAL SERVICES, INC
Allegations:	CLIENT INDICATES THAT HIS IRA ACCOUNT WAS CONCENTRATED IN TWO EQUITY POSITIONS (ISLAND PACIFIC AND BIOTIME), WHICH WERE UNSUITABLE FOR HIS ACCOUNT.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$64,500.00

Customer Complaint Information

Date Complaint Received:	10/07/2007
Complaint Pending?	No
Status:	Denied
Status Date:	11/15/2007

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: RAYMOND JAMES FINANCIAL SERVICES, INC.

Allegations: CLIENT INDICATES THAT HIS IRA ACCOUNT WAS CONCENTRATED IN TWO EQUITY POSITIONS (ISLAND PACIFIC AND BIOTIME), WHICH WERE UNSUITABLE FOR HIS ACCOUNT.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: $64,500.00

Customer Complaint Information

Date Complaint Received: 10/07/2007

Complaint Pending? No

Status: Denied

Status Date: 11/15/2007

Settlement Amount:

Individual Contribution Amount:

Broker Statement MR. JOHNSON MET WITH THIS CLIENT AND SUGGESTED AN ASSET ALLOCATION STRATEGY THAT THE CLIENT WAS UNINTERESTED IN IMPLEMENTING. MR. JOHNSON SUGGESTED THE CLIENT MEET WITH ANOTHER REPRESENTATIVE WHO SPECIALIZED IN AGGRESSIVE STRATEGIES THEREFORE; MR. JOHNSON WAS NOT THE REPRESENTATIVE ON THE ACCOUNT AT THE TIME OF THE TRANSACTIONS IN QUESTION. THE TRANSACTIONS IN QUESTION DATE BACK TO 1999. THIS IS A UNMERITED AND FRIVOLOUS CLAIM WHICH WAS INVESTIGATED AND DENIED BY THE FIRM.

Disclosure 4 of 4

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: ROBERT THOMAS SECURITIES, INC.

Allegations: MISREPRESENTATION; ACCOUNT RELATED-NEGLIGENCE

Product Type: Other

Other Product Type(s): UNSPECIFIED TYPE OF FINANCIAL PRODUCT.

Alleged Damages: $8,676.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #91-03302

Date Notice/Process Served:	10/31/1991
Arbitration Pending?	No
Disposition:	Other
Disposition Date:	11/13/1992
Disposition Detail:	AWARD AGAINST PARTY JOHNSON IS JOINTLY AND SEVERALLY LIABLE FOR $8,676.00 IN ACTUAL DAMAGES PLUS INTEREST AND $150.00.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	ROBERT THOMAS SECURITIES, INC.
Allegations:	MISREPRESENTATION; ACCOUNT RELATED NEGLIGENCE. ALLEGED DAMAGES OF $8,676.00.
Product Type:	No Product
Alleged Damages:	$8,676.00

Customer Complaint Information

Date Complaint Received:	10/31/1991
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	11/13/1992
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD; 91-03302
Date Notice/Process Served:	10/31/1991
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	11/13/1992
Monetary Compensation Amount:	$8,826.00
Individual Contribution Amount:	$0.00
Broker Statement	JOHNSON IS JOINTLY AND SEVERALLY LIABLE FOR $8,676.00 IN ACTUAL DAMAGES PLUS INTEREST AND $150.00 NOT PROVIDED

End of Report

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