



## IAPD Report

# ERIC MICHAEL JOHNSON

CRD# 2592384

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Please contact FINRA with any concerns.



## 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>



## Report Summary

### ERIC MICHAEL JOHNSON (CRD# 2592384)

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 **05/26/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	04/05/2004
<b>IA</b>	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	01/02/2009

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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
<b>IA</b>	RAYMOND JAMES FINANCIAL SERVICES	6694	BOULDER, CO	11/02/2004 - 01/02/2009
<b>IA</b>	UBS PAINWEBBER INC.	8174	BOULDER, CO	05/25/2001 - 04/16/2003
<b>B</b>	UBS PAINWEBBER INC.	8174	WEEHAWKEN, NJ	05/10/2001 - 04/16/2003

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 **11** 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>B</b>	FINRA	General Securities Representative	Approved	04/05/2004
<b>B</b>	FINRA	General Securities Sales Supervisor	Approved	04/05/2004
<b>B</b>	Arizona	Agent	Approved	03/07/2025
<b>B</b>	California	Agent	Approved	02/28/2025
<b>B</b>	Colorado	Agent	Approved	05/20/2004
<b>B</b>	Montana	Agent	Approved	01/14/2022
<b>B</b>	New Mexico	Agent	Approved	08/01/2022
<b>B</b>	New York	Agent	Approved	05/22/2004
<b>B</b>	North Carolina	Agent	Approved	10/13/2022
<b>B</b>	South Carolina	Agent	Approved	05/29/2026
<b>B</b>	Virginia	Agent	Approved	10/18/2005
<b>B</b>	Washington	Agent	Approved	09/24/2025
<b>B</b>	Wisconsin	Agent	Approved	01/17/2020



## Qualifications

### Branch Office Locations

#### RAYMOND JAMES FINANCIAL SERVICES

6260 Lookout Road  
#220E  
Boulder, CO 80301

### 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 Colorado	Investment Adviser Representative	Approved	01/02/2009

### Branch Office Locations

#### RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC

6260 Lookout Road  
#220E  
Boulder, CO 80301



## 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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	06/19/2000
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	05/30/2000

#### General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	09/25/1997
General Securities Representative Examination (S7)	Series 7	03/08/1995

#### State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	08/27/1996
Uniform Securities Agent State Law Examination (S63)	Series 63	04/12/1995

### PROFESSIONAL DESIGNATIONS

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

No information reported.



## 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	11/02/2004 - 01/02/2009	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	BOULDER, CO
IA	05/25/2001 - 04/16/2003	UBS PAINWEBBER INC.	CRD# 8174	BOULDER, CO
B	05/10/2001 - 04/16/2003	UBS PAINWEBBER INC.	CRD# 8174	WEEHAWKEN, NJ
B	08/27/1997 - 05/10/2001	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	09/18/1995 - 10/28/1996	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	09/18/1995 - 10/28/1996	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	04/03/1995 - 07/10/1995	INVESTORS ASSOCIATES, INC.	CRD# 958	HACKENSACK, NJ
B	03/09/1995 - 03/16/1995	RICKEL & ASSOCIATES, INC.	CRD# 7839	NEW YORK, NY

### 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
01/2015 - Present	Personal Wealth Partner Financial Services Inc.	Officer-President	N	LONGMONT, CO, United States
01/2009 - Present	Raymond James Financial Services Advisors, Inc	Financial Advisor	Y	Boulder, CO, United States
04/2003 - Present	Raymond James Financial Services	Financial Advisor	Y	Boulder, CO, 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: Personal Wealth Partner Financial Services Inc Address: 1420 Renaissance Drive, Longmont, CO, 80503, United States Activity Type: Support Company - Owner Position/Title: Officer - President Investment Related: No Start Date: 01/01/2015 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 41+ Description of duties: Support Company and Owner/DBA- LLC/S CorpPersonal Wealth Partner Financial Services



## 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

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	Raymond James Financial Services, Inc.
<b>Allegations:</b>	Client alleges unsuitable investments. Alleged Activity Dates: 8/2/2010 - 7/9/2020.
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Alleged Damages:</b>	\$150,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	07/09/2020
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	01/22/2021

#### Settlement Amount:

#### Individual Contribution Amount:

**Broker Statement** This claim is frivolous and entirely without merit. Over the years the clients have withdrawn excessive funds and made numerous financial decisions against my



guidance. The Firm conducted a review of this matter and denied the claim outright.

#### Disclosure 2 of 4

**Reporting Source:** Individual

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

**Allegations:** UNSUITABLE INVESTMENTS, OVERCONCENTRATION, BREACH OF FIDUCIARY DUTY, NEGLIGENT FAILURE TO SUPERVISE, NEGLIGENCE

**Product Type:** Unit Investment Trust

**Alleged Damages:** \$200,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** FINRA

**Docket/Case #:** 11-04034

**Filing date of arbitration/CFTC reparation or civil litigation:** 10/31/2011

#### Customer Complaint Information

**Date Complaint Received:** 10/31/2011

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 10/18/2012

**Settlement Amount:** \$25,000.00

**Individual Contribution Amount:** \$25,000.00

**Broker Statement**

AMOUNT OF CONTRIBUTION IS AMOUNT FINANCIAL ADVISOR IS REQUIRED TO PAY UNDER HIS FA AGREEMENT. THE TOTAL AMOUNT CONTRIBUTED MAY BE OFFSET BY ANY ERRORS & OMISSIONS INSURANCE IF COVERED"

BY HIS OWN STATEMENT, [CUSTOMER'S] PORTFOLIO RECOVERED MORE THAN FULLY IN 2009/2010, THEREFORE, I AM PERPLEXED AND LEARY OF THIS CLAIM. I AM NOT NAMED AS A RESPONDENT IN THIS CLAIM.

#### Disclosure 3 of 4

**Reporting Source:** Regulator

**Employing firm when activities occurred which led to the complaint:** MORGAN STANLEY DW INC.

**Allegations:** CLAIMANT ASSERTED THE FOLLOWING CAUSES OF ACTION: BREACH OF



FIDUCIARY DUTY, FRAUD, AND UNJUST ENRICHMENT.

**Product Type:** Other  
**Other Product Type(s):** UNSPECIFIED SECURITIES PRODUCTS.  
**Alleged Damages:** \$330,000.00

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD - CASE #02-04222  
**Date Notice/Process Served:** 07/15/2002  
**Arbitration Pending?** No  
**Disposition:** Award  
**Disposition Date:** 02/06/2004  
**Disposition Detail:** RESPONDENT IS LIABLE ON CLAIM OF BREACH OF FIDUCIARY DUTY AND SHALL PAY TO CLAIMANTS COMPENSATORY DAMAGES IN THE SUM OF \$1,500.00, PLUS PRE-JUDGMENT INTEREST.

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**Reporting Source:** Firm  
**Employing firm when activities occurred which led to the complaint:** MORGAN STANLEY DEAN WITTER  
**Allegations:** CUSTOMERS ALLEGE THEIR ACCOUNT WAS MISMANAGED FROM THE TIME IT WAS OPENED IN LATE 1999 UNTIL IT WAS TRANSFERRED IN JUNE 2001.

**Product Type:** Equity - OTC  
**Alleged Damages:** \$330,000.00

**Customer Complaint Information**

**Date Complaint Received:** 06/03/2002  
**Complaint Pending?** No  
**Status:** Arbitration/Reparation  
**Status Date:** 08/07/2002

**Settlement Amount:****Individual Contribution Amount:****Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD CASE NO. 02-04222  
**Date Notice/Process Served:** 08/07/2002  
**Arbitration Pending?** No  
**Disposition:** Award to Customer  
**Disposition Date:** 02/06/2004  
**Monetary Compensation Amount:** \$260,000.00



<b>Amount:</b>	
<b>Individual Contribution Amount:</b>	\$1,500.00
.....	
<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	MORGAN STANLEY DEAN WITTER
<b>Allegations:</b>	CUSTOMERS ALLEGED THEIR ACCOUNT WAS MISMANAGED FROM THE TIME IT WAS OPENED IN LATE 1999 UNTIL IT WAS TRANSFERRED IN JUNE 2001.
<b>Product Type:</b>	Equity-OTC
<b>Alleged Damages:</b>	\$330,000.00
<b>Customer Complaint Information</b>	
<b>Date Complaint Received:</b>	06/03/2002
<b>Complaint Pending?</b>	No
<b>Status:</b>	Evolved into Arbitration/CFTC reparation (the individual is a named party)
<b>Status Date:</b>	08/07/2002
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	
<b>Arbitration Information</b>	
<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	NASD
<b>Docket/Case #:</b>	N/A
<b>Date Notice/Process Served:</b>	08/07/2002
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Award to Customer
<b>Disposition Date:</b>	02/06/2004
<b>Monetary Compensation Amount:</b>	\$260,000.00
<b>Individual Contribution Amount:</b>	\$1,500.00
<b>Broker Statement</b>	IN THE YEAR 2000, THE CLIENT WAS IN AN ACCIDENT AND INCURRED A DEVASTATING HEAD INJURY. WE COULD NOT REACH THE CLIENT NOR HIS WIFE DUE TO THE FACT THEY WERE NOT IN THEIR HOMETOWN, RATHER IN A HOSPITAL ACROSS THE COUNTRY, WHILE THE MARKETS TUMBLED. I NOTIFIED MY BRANCH MANAGER AND HE NOTIFIED HIS MANAGER ABOUT THE SITUATION AND I WAS TOLD THAT THEY WOULD TAKE THE ACCOUNT AND TAKE APPROPRIATE ACTION. HOWEVER, MY BRANCH MANAGER AND HIS MANAGER DID NOTHING. THE MARKETS SANK AND THE CLIENT'S ACCOUNT PERISHED. AFTER FINALLY REACHING THE CLIENT'S SPOUSE, THE BRANCH MANAGER ALLOWED THE CLIENT TO WRITE A CHECK ON MARGIN TO PURCHASE A HOME IN THE STATE WHERE HER HUSBAND WAS HOSPITALIZED; THEREFORE, CAUSING FURTHER STRESS ON THE



ACCOUNT. I HIGHLY RECOMMENDED AGAINST THIS ACTION AND TOLD THE CLIENT TO SELL EQUITY TO OBTAIN THE FUNDS AND TO STOP FURTHER LOSSES. SHE DECLINED TO SELL. IN 2001, THE CLIENTS CHOSE TO TRANSFER THEIR ACCOUNTS TO ME AT UBS TO ATTEMPT TO SALVAGE THEIR REMAINING FUNDS. (WHICH IS NOT STATED IN THEIR COMPLAINT) THEY THEN CHOSE TO SUE MORGAN STANLEY FOR THE DAMAGES. THEIR ATTORNEY INCLUDED MY NAME IN THE COMPLAINT, AS I WAS THE ORIGINAL ADVISOR. I WENT TO ARBITRATION AND TOLD THE TRUTH AND THE CLIENTS RECEIVED AN AWARD. THE MORGAN STANLEY BRANCH MANAGER WOULD LATER BE FIRED AND EVENTUALLY ARRESTED ON FELONY DRUG CHARGES.

**Disclosure 4 of 4**

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** MORGAN STANLEY DEAN WITTER

**Allegations:** CUSTOMER ALLEGES MISMANAGEMENT OF HER ACCOUNTS DURING THE YEAR 2000.

**Product Type:** Other

**Other Product Type(s):** COMMON STOCK

**Alleged Damages:** \$238,000.00

**Customer Complaint Information**

**Date Complaint Received:** 07/10/2001

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 10/15/2001

**Settlement Amount:** \$0.00

**Individual Contribution Amount:** \$0.00

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** MORGAN STANLEY DEAN WITTER

**Allegations:** CUSTOMER ALLEGES MISMANAGEMENT OF HER ACCOUNTS DURING THE YEAR 2000.

**Product Type:** Other

**Other Product Type(s):** COMMON STOCK

**Alleged Damages:** \$238,000.00

**Customer Complaint Information**

**Date Complaint Received:** 07/10/2001

**Complaint Pending?** No

**Status:** Denied



**Status Date:** 10/15/2001

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

NO LONGER REPORTABLE. FILED MORE THAN 24 MONTHS AGO AND DID NOT RESULT IN A SETTLEMENT OF \$10,000.00 OR MORE. PLEASE ARCHIVE.



## End of Report

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