



IAPD Report

JOHN REED MICKELSON

CRD# 2628700

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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.



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

JOHN REED MICKELSON (CRD# 2628700)

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 **06/11/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WEALTH ENHANCEMENT ADVISORY SERVICES, LLC	CRD# 116407	01/05/2026
B	WEALTH ENHANCEMENT BROKERAGE SERVICES, LLC	CRD# 130139	01/05/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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	STRATEGIC ADVOCATES, LLC	316858	LOGAN, UT	09/19/2022 - 01/02/2026
B	CREATIVEONE SECURITIES, LLC	152974	Logan, UT	03/06/2024 - 12/31/2025
B	CROWN CAPITAL SECURITIES, L.P.	6312	LOGAN, UT	01/03/2023 - 03/12/2024

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	2



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 **12** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **WEALTH ENHANCEMENT BROKERAGE SERVICES, LLC**
Main Address: 505 N HIGHWAY 169
SUITE 900
PLYMOUTH, MN 55441
Firm ID#: 130139

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	01/05/2026
	FINRA	Invest. Co and Variable Contracts	Approved	01/05/2026
	Arizona	Agent	Approved	01/05/2026
	California	Agent	Approved	01/05/2026
	Colorado	Agent	Approved	02/12/2026
	Idaho	Agent	Approved	01/27/2026
	Montana	Agent	Approved	01/05/2026
	Nevada	Agent	Approved	01/05/2026
	North Carolina	Agent	Approved	01/26/2026
	Oklahoma	Agent	Approved	01/28/2026
	Oregon	Agent	Approved	01/05/2026
	Utah	Agent	Approved	01/23/2026
	Wyoming	Agent	Approved	01/05/2026



Qualifications

Branch Office Locations

45 N MAIN ST
SUITE 200
LOGAN, UT 84321

Employment 2 of 2

Firm Name: **WEALTH ENHANCEMENT ADVISORY SERVICES, LLC**
Main Address: 505 N HIGHWAY 169
SUITE 900
PLYMOUTH, MN 55441
Firm ID#: 116407

	Regulator	Registration	Status	Date
IA	Texas	Investment Adviser Representative	Restricted Approval	01/05/2026
IA	Utah	Investment Adviser Representative	Approved	01/23/2026

Branch Office Locations

WEALTH ENHANCEMENT ADVISORY SERVICES, LLC
45 N MAIN ST
SUITE 200
LOGAN, UT 84321



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 0 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

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	01/11/2008
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/18/1995

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	10/11/1995



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Consultant

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	09/19/2022 - 01/02/2026	STRATEGIC ADVOCATES, LLC	CRD# 316858	LOGAN, UT
B	03/06/2024 - 12/31/2025	CREATIVEONE SECURITIES, LLC	CRD# 152974	Logan, UT
B	01/03/2023 - 03/12/2024	CROWN CAPITAL SECURITIES, L.P.	CRD# 6312	LOGAN, UT
IA	01/03/2023 - 03/12/2024	CROWN CAPITAL SECURITIES, L.P.	CRD# 6312	LOGAN, UT
IA	10/29/2012 - 12/31/2022	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	LOGAN, UT
B	10/19/2012 - 12/31/2022	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	LOGAN, UT
IA	05/11/2007 - 10/23/2012	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	LOGAN, UT
B	05/08/2007 - 10/23/2012	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	LOGAN, UT
IA	11/14/2001 - 05/10/2007	ESI FINANCIAL ADVISORS	CRD# 265	LOGAN, UT
B	07/12/2001 - 05/10/2007	EQUITY SERVICES, INC.	CRD# 265	LOGAN, UT
B	10/19/1995 - 07/03/2001	NYLIFE SECURITIES INC.	CRD# 5167	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
01/2026 - Present	WEALTH ENHANCEMENT ADVISORY SERVICES	INVESTMENT ADVISOR REPRESENTATIVE	Y	LOGAN, UT, United States
01/2026 - Present	WEALTH ENHANCEMENT BROKERAGE SERVICES	REGISTERED REPRESENTATIVE	Y	LOGAN, UT, United States
01/2026 - Present	WEALTH ENHANCEMENT GROUP	SVP, FINANCIAL ADVISOR	Y	LOGAN, UT, United States
07/2012 - Present	CACHE COUNTY SCHOOL DISTRICT	TENNIS COACH	N	LOGAN, UT, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2024 - 12/2025	CreativeOne Securities, LLC	Registered Representative/Investment Adviser	Y	Overland Park, KS, United States
08/2022 - 12/2025	Strategic Advocates, LLC	Investment Adviser Representative	Y	Logan, UT, United States
07/2021 - 12/2025	Strategic Advocates, LLC	Managing Member	Y	Logan, UT, United States
01/1995 - 12/2025	MICKELSON FINANCIAL SERVICES, LLC	OWNER/CEO	Y	LOGAN, UT, United States
01/2023 - 03/2024	CROWN CAPITAL SECURITIES, LP	REGISTERED REPRESENTATIVE/IAR	Y	ORANGE, CA, United States
10/2012 - 12/2022	CAMBRIDGE INVESTMENT RESEARCH, INC	REGISTERED REPRESENTATIVE	Y	FAIRFIELD, IA, United States
10/2012 - 08/2022	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC	INVESTMENT ADVISOR REPRESENTATIVE	Y	FAIRFIELD, IA, 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.

WEALTH ENHANCEMENT ADVISORY SERVICES - INVESTMENT ADVISOR REPRESENTATIVE - LOGAN, UT. PROVIDE INVESTMENT ADVISORY SERVICES. 160 HOURS PER MONTH, 160 HOURS DURING TRADING HOURS.

WEALTH ENHANCEMENT GROUP - INSURANCE AGENT - LOGAN, UT. SELL AND SERVICES FIXED INSURANCE AND FIXED ANNUITIES. 24 HOURS PER MONTH, 24 HOURS DURING TRADING HOURS.

GREEN CANYON HIGH SCHOOL - VOLUNTEER TENNIS COACH - NORTH LOGAN, UT. 24 HOURS PER MONTH, 6 HOURS DURING TRADING HOURS.

CACHE VALLEY WATER POLO - VOLUNTEER BOSRD MEMBER - PROVIDENCE, UT. DECISION MAKING AND CONSULTING ON CLUB SPORT. 10 HOURS PER MONTH, 10 HOURS DURING TRADING HOURS.



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	2

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CAMBRIDGE INVESTMENT RESEARCH, INC.
Allegations:	Statement of Claim alleges an investment recommendation was made for the purpose of generating high commissions and fees and that Claimants were deprived of the ability to generate reasonable returns that would have been received in a diversified portfolio.
Product Type:	Oil & Gas
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	The Statement of Claim does not allege a specific amount of damages. The requested damage amount shall include compensatory damages, statutory damages, interest, attorney's fees, expert fees, forum fees and punitive damages.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	25-00359
Filing date of arbitration/CFTC reparation or civil litigation:	02/20/2025



Customer Complaint Information

Date Complaint Received: 02/27/2025

Complaint Pending? Yes

Settlement Amount:

Individual Contribution

Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CAMBRIDGE INVESTMENT RESEARCH, INC.

Allegations: Statement of Claim alleges an investment recommendation was made for the purpose of generating high commissions and fees that Claimants were deprived of the ability to generate reasonable returns that would have been received in a diversified portfolio. The representative discussed the nature of the investment within their asset mix, the long-term horizon, the risks associated with investing in energy at the time of purchase. There were dozens of meetings with our office starting September of 2014 to present where the energy investment was thoroughly discussed as part of their overall assessment of their finances. The representative did not have a choice in what percentage of commissions were paid.

Product Type: Oil & Gas

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): The Statement of Claim does not allege a specific amount of damages. The requested damage amount shall include compensatory damages, statutory damages, interest, attorney's fees, expert fees, forum fees and punitive damages.

Is this an oral complaint? No

Is this a written complaint? No

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 25-00359

Filing date of arbitration/CFTC reparation or civil litigation: 02/20/2025

Customer Complaint Information

Date Complaint Received: 02/27/2025

Complaint Pending? Yes

Settlement Amount:

Individual Contribution
Amount:



Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CAMBRIDGE INVESTMENT RESEARCH, INC.

Allegations: The Statement of Claim alleges RR recommended speculative alternative investments. Claimants allege RR recommended these investments for the purpose of generating high commissions and fees.

Product Type: Oil & Gas

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): The Statement of Claim does not allege a specific amount of damages. The requested damage amount shall include compensatory damages, statutory damages, interest, attorney fees, expert fees, forum fees and punitive damages.

Is this an oral complaint? No

Is this a written complaint? No

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 25-00140

Filing date of arbitration/CFTC reparation or civil litigation: 01/21/2025

Customer Complaint Information

Date Complaint Received: 01/21/2025

Complaint Pending? No

Status: Settled

Status Date: 06/01/2026

Settlement Amount: \$120,000.00

Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CAMBRIDGE INVESTMENT RESEARCH, INC.

Allegations: The Statement of Claim alleges speculative alternative investment were recommended for the purpose of generating high commissions and fees. The representative discussed the nature of the investment, the long-term horizon, the risks associated with investing in energy at the time of purchase. There were literally dozens of meetings with our office between March 23, 2014, and Feb 29, 2024, where the energy investment was thoroughly discussed.

Product Type: Oil & Gas

Alleged Damages: \$0.00



Alleged Damages Amount Explanation (if amount not exact): The Statement of Claim does not allege a specific amount of damages. The requested damage amount shall include compensatory damages, statutory damages, interest, attorney fees, expert fees, forum fees, and punitive damages.

Is this an oral complaint? No

Is this a written complaint? No

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 25-00140

Filing date of arbitration/CFTC reparation or civil litigation: 01/21/2025

Customer Complaint Information

Date Complaint Received: 01/21/2025

Complaint Pending? No

Status: Settled

Status Date: 06/01/2026

Settlement Amount: \$120,000.00

Individual Contribution Amount: \$0.00



End of Report

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