IAPD Report

DAVID WAYNE JOHNSTON

CRD# 2827475

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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

DAVID WAYNE JOHNSTON (CRD# 2827475)

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 **11/18/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ONEPOINT BFG WEALTH PARTNERS	CRD# 318366	05/30/2023
B	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	04/15/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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	LPL FINANCIAL LLC	6413	FLEMINGTON, NJ	05/15/2023 - 04/16/2025
B	CETERA ADVISORS LLC	10299	FLEMINGTON, NJ	09/08/2022 - 05/18/2023
IA	CETERA INVESTMENT ADVISERS LLC	105644	FLEMINGTON, NJ	11/12/2020 - 05/18/2023

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	1

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

Employment 1 of 2

Firm Name: **PURSHE KAPLAN STERLING INVESTMENTS**

Main Address: 80 STATE STREET
ALBANY, NY 12207

Firm ID#: 35747

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	04/15/2025
B	FINRA	Invest. Co and Variable Contracts	Approved	04/15/2025
B	FINRA	Operations Professional	Approved	04/15/2025
B	California	Agent	Approved	04/15/2025
B	Colorado	Agent	Approved	04/15/2025
B	Delaware	Agent	Approved	04/15/2025
B	Florida	Agent	Approved	04/15/2025
B	Indiana	Agent	Approved	04/15/2025
B	Maryland	Agent	Approved	04/15/2025
B	Massachusetts	Agent	Approved	04/15/2025
B	Nevada	Agent	Approved	04/15/2025
B	New Jersey	Agent	Approved	04/15/2025
B	New York	Agent	Approved	04/15/2025

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Qualifications

	Regulator	Registration	Status	Date
B	Pennsylvania	Agent	Approved	04/15/2025
B	South Carolina	Agent	Approved	04/15/2025
B	Virginia	Agent	Approved	04/15/2025

Branch Office Locations

80 State Street
ALBANY, NY 12207

56 Main Street
Suite 2E
Flemington, NJ 08822

Employment 2 of 2

Firm Name: **ONEPOINT BFG WEALTH PARTNERS**

Main Address: 300 KIMBALL DRIVE
SUITE 310
PARSIPPANY, NJ 07054

Firm ID#: 318366

	Regulator	Registration	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	05/31/2023

Branch Office Locations

ONEPOINT BFG WEALTH PARTNERS
56 Main Street
Flemington, NJ 08822

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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	11/18/2003
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/23/1997

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	07/29/2005
B Uniform Securities Agent State Law Examination (S63)	Series 63	06/26/1997

PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

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.

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Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	05/15/2023 - 04/16/2025	LPL FINANCIAL LLC	CRD# 6413	FLEMINGTON, NJ
B	09/08/2022 - 05/18/2023	CETERA ADVISORS LLC	CRD# 10299	FLEMINGTON, NJ
IA	11/12/2020 - 05/18/2023	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	FLEMINGTON, NJ
B	09/15/2010 - 09/08/2022	FIRST ALLIED SECURITIES, INC.	CRD# 32444	FLEMINGTON, NJ
IA	07/02/2012 - 11/12/2020	FIRST ALLIED ADVISORY SERVICES, INC.	CRD# 137888	FLEMINGTON, NJ
IA	09/15/2010 - 07/02/2012	FIRST ALLIED SECURITIES, INC.	CRD# 32444	FLEMINGTON, NJ
B	10/01/2007 - 09/17/2010	NFP SECURITIES, INC.	CRD# 42046	ISELIN, NJ
IA	10/01/2007 - 09/17/2010	NFP SECURITIES, INC.	CRD# 42046	ISELIN, NJ
IA	01/18/2005 - 10/04/2007	NORTHWESTERN MUTUAL INVESTMENT SERVICES,LLC	CRD# 2881	PRINCETON, NJ
B	01/24/1997 - 10/04/2007	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	PRINCETON, NJ
B	01/24/1997 - 01/01/2002	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	MILWAUKEE, WI

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
04/2025 - Present	Purshe Kaplan Sterling Investments	Registered Representative	Y	Albany, NY, United States
05/2023 - Present	Bleakley Financial Group, LLC dba OnePoint BFG Wealth Partners	Investment Adviser Representative/Wealth Management Adviser	Y	Flemington, NJ, United States
05/2023 - 04/2025	LPL Financial	Registered Representative	Y	Flemington, NJ, United States

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Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2022 - 05/2023	CETERA ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	FLEMINGTON, NJ, United States
11/2020 - 05/2023	Cetera Investment Advisers LLC	Investment Adviser Representative	Y	Flemington, NJ, United States
09/2010 - 09/2022	FIRST ALLIED SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, United States
11/2020 - 11/2020	FIRST ALLIED ADVISORY SERVICES	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
07/2012 - 11/2020	FIRST ALLIED ADVISORY SERVICES, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	CHESTERFIELD, MO, 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) Bleakley Financial Group DBA OnePoint BFG Wealth Partners. Investment-related. At registered location. RIA. IAR. 05/2023. 160 hrs/month. 160 hrs during trading hrs. Service clients.

2) Fixed Insurance. Investment-related. At registered location. Fixed Insurance. Agent. 05/2023. 1 hr/month. 1 hr during trading hrs. Provide insurance advice based on the needs of clients.

3) College of New Jersey (NPBM). Not investment-related. 2000 Pennington Rd, Ewing, NJ 08618. Teaching. Adjunct Professor. 5/15/2023. 150 hrs/month. 4 hrs during trading hrs. Adjunct Professor - Insurance Planning.

4) Stanton Ridge Golf and Country Club. Not investment-related. 25 Club House Dr, Whitehouse Station, NJ 08889. Board of Directors. Board member. 5/15/2023. 3 hrs/month. 3 hrs during trading hrs. President of the member advisory board.

5) College of New Jersey (NPBM) - Board of Directors. Not investment-related. 2000 Pennington Rd, Ewing, NJ 08618. Board of Directors. Foundation board member. 5/15/2023. 3 hrs/month. 3 hrs during trading hrs. Meetings, social events.

6) Hunterdon Health Foundation. Not investment-related. Route 31 Flemington, NJ 08822. Fundraising. Board Member. 07/15/25. 2 hrs/month. 0 hrs during trading hrs. Attend meetings and events.

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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.

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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	1

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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FIRST ALLIED SECURITIES, INC.
Allegations:	Client alleged an unsuitable investment in AR Global Healthcare Trust.
Product Type:	Real Estate Security
Alleged Damages:	$7,500.00
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:	06/10/2026
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	06/24/2026
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	I strongly dispute the allegations. The complaint relates to a non-traded REIT investment purchased in 2014 that was suitable based on the client's financial

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circumstances, investment objectives, risk tolerance, and stated preference for real estate investments at the time. Prior to the purchase, the client received and acknowledged the prospectus and related disclosure documents describing the investment's risks, fees, valuation methodology, and liquidity limitations.

The client and I maintained a comprehensive financial planning relationship for approximately eight years, during which we conducted more than twenty formal review meetings. Throughout that relationship, the client demonstrated he was a sophisticated and engaged investor who regularly performed his own research and, on numerous occasions, declined or modified my recommendations. The client did not rely exclusively on my advice and exercised independent judgment regarding his investment decisions.

The losses alleged in the complaint stem primarily from regulatory changes affecting non-traded REIT valuation reporting, subsequent issuer decisions, and market events that occurred years after the investment was purchased. I also personally invested in the same offering at the time, reflecting my good-faith belief in its merits.

The complaint attempts to apply hindsight to a recommendation that was suitable, fully disclosed, and consistent with industry standards and regulatory requirements when it was made.

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End of Report

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