



IAPD Report

Craig Holmes Johnson

CRD# 2912285

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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

Craig Holmes Johnson (CRD# 2912285)

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 **10/31/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	12/16/2020
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	01/14/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **25** 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	EDWARD JONES	250	KODIAK, AK	01/18/2007 - 01/13/2021
B	EDWARD JONES	250	KODIAK, AK	07/28/1998 - 01/13/2021
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	SAINT PETERSBURG, FL	12/16/2020 - 12/18/2020

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



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 **25** 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 Representative	Approved	12/16/2020
B FINRA	Invest. Co and Variable Contracts	Approved	12/16/2020
B Alaska	Agent	Approved	01/06/2021
B Arizona	Agent	Approved	03/30/2022
B California	Agent	Approved	12/16/2020
B Colorado	Agent	Approved	12/16/2020
B Florida	Agent	Approved	12/16/2020
B Georgia	Agent	Approved	07/13/2022
B Hawaii	Agent	Approved	08/12/2022
B Idaho	Agent	Approved	12/16/2020
B Illinois	Agent	Approved	10/17/2024
B Kansas	Agent	Approved	04/04/2025
B Maine	Agent	Approved	09/26/2022



Qualifications

Regulator	Registration	Status	Date
B Massachusetts	Agent	Approved	12/16/2020
B Minnesota	Agent	Approved	12/16/2020
B Missouri	Agent	Approved	06/03/2021
B Nevada	Agent	Approved	01/19/2021
B New York	Agent	Approved	01/21/2021
B North Carolina	Agent	Approved	06/25/2021
B North Dakota	Agent	Approved	01/19/2021
B Oregon	Agent	Approved	01/06/2021
B Pennsylvania	Agent	Approved	01/03/2024
B Rhode Island	Agent	Approved	07/22/2022
B South Carolina	Agent	Approved	10/16/2023
B Texas	Agent	Approved	04/25/2022
B Virginia	Agent	Approved	02/03/2021
B Washington	Agent	Approved	01/06/2021

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
Kodiak, AK

RAYMOND JAMES FINANCIAL SERVICES
Anacortes, WA

Employment 2 of 2

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



Qualifications

Regulator	Registration	Status	Date
IA Alaska	Investment Adviser Representative	Approved	01/14/2021
IA Texas	Investment Adviser Representative	Restricted Approval	06/09/2022

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
1627 Mill Bay Road
Kodiak, AK 99615

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, IN
Anacortes, WA



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 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	07/27/1998
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/15/1997

State Securities Law Exams

Exam	Category	Date
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IA B Uniform Combined State Law Examination (S66)	Series 66	12/09/2006
B Uniform Securities Agent State Law Examination (S63)	Series 63	09/15/1997

PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	01/18/2007 - 01/13/2021	EDWARD JONES	CRD# 250	KODIAK, AK
B	07/28/1998 - 01/13/2021	EDWARD JONES	CRD# 250	KODIAK, AK
IA	12/16/2020 - 12/18/2020	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	SAINT PETERSBURG, F
B	10/31/1997 - 09/17/1998	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
12/2020 - Present	Raymond James Financial Services Advisors, Inc.	Registered Representative	Y	Kodiak, AK, United States
12/2020 - Present	Raymond James Financial Services, Inc.	Registered Representative	Y	Kodiak, AK, United States
12/2020 - 04/2024	Haven Financial Partners	Officer - President	N	Kodiak, AR, United States
05/1998 - 12/2020	Edward D. Jones & CO., L.P.	Financial Advisor	Y	Kodiak, AK, 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.

- 2912285
- (1) Name of Business: Address: 1627 Mill Bay Rd, Kodiak, AK, 99615-6235, United States Activity Type: Rental Real Estate Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 12/15/2020 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: owner of 1627 Mill Bay Rd. w/ wife, Terrie\nthis is the office property of Haven Financial Services llc\nbusiness property, small office bldg
 - (2) Name of Business: Haven Financial Partners LLC Address: 1627 Mill Bay Rd, Kodiak, AK, 99615-6235, United States Activity Type: Support Company - Owner Position/Title: Officer - President Investment Related: No Start Date: 12/15/2020 Hours per month devoted to this business: 21-40 Hours per month devoted to this business during trading hours: 21-40 Description of duties: Haven Financial is financial services office, my branch office.
 - (3) Name of Business: Mission Lake Tidegate Service District Address: 2113 SPRUCE HAVEN LANE, KODIAK, AK, 99615, United States Activity Type: Board Member, Board Subcommittee Member, Officer, or Director Position/Title: Advisory Board, Director Investment Related: No Start Date: 03/10/2021 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: OVERSEE MISSION LAKE TIDEGATE; WORK W/ KODIAK



Registration & Employment History



OTHER BUSINESS ACTIVITIES

ISLAND BOROUGH ASSEMBLY TO RECOMMEND BUDGET



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	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: EDWARD JONES

Allegations: CLIENT STATES HE INFORMED JOHNSON HE ONLY HAD 1 1/2 - 2 YEAR TIMEFRAME WITH WHICH TO INVEST HIS MONEY. CLIENT STATES JOHNSON RECOMMENDED HE INVEST \$250,000 INTO MUTUAL FUNDS. THE CLIENT STATES HE INVESTED OVER \$600,000 WITH EDJ, STATE HE HAS LOST OVER \$300,000 AND PAID OVER \$30,000 IN COMMISSION. THE CLIENT STATES JOHNSON RECOMMENDED HE HOLD ONTO HIS INVESTMENTS AS THE MARKET WAS DECLINING STATING HE BELIEVED IT WOULD REBOUND. THE CLIENT FURTHER STATES JOHNSON SHOULD HAVE ADVISED HIM TO SELL IN FEB 2001 WHEN THE MARKET HAD REBOUNDED PARTIALLY.

Product Type: Other

Alleged Damages: \$300,000.00

Customer Complaint Information

Date Complaint Received: 08/29/2001

Complaint Pending? No

Status: Denied

Status Date: 01/11/2002



Settlement Amount:

Individual Contribution Amount:

Broker Statement

JOHNSON DOES NOT RECALL ANY CONVERSATIONS WITH THE CLIENT IN REGARDS TO HIS SHORT TERM TIME HORIZON. MR. JOHNSON STATED HE INFORMED THE CLIENT HE SHOULD EXPECT 8-10% RETURNS ON THE MUTUAL FUNDS THE CLIENT INVESTED AND DID NOT PROMISE THE HIGH SHORT TERM RETURNS INDICATED IN THE PUTNAM BROCHURE. ACCORDING TO MR. JOHNSON, THE CLIENT WANTED TO INVEST AGGRESSIVELY AND RECEIVED MANY OF HIS STOCK IDEAS FROM TELEVISION INVESTMENT PROGRAMS. ON NUMEROUS OCCASIONS JOHNSON EMPHASIZED DIVERSIFICATION AND MOVING TO THE EDWARD JONES PHILOSOPHY OF BUY AND HOLD. MR. JOHNSON HAD ASKED THAT THE CLIENT MOVE HIS ACCOUNT DUE TO HIS AGGRESSIVE INVESTING HABITS AND NOT FOLLOWING THE JOHNSON'S RECOMMENDATION OF NOT PUTTING ALL OF HIS EGGS IN ONE BASKET. ANY REQUEST FOR LOSSES ASSOCIATED WITH THE CLIENTS ACCOUNT WERE DENIED.



End of Report

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