



IAPD Report

BRANDON CARROLL JOHNSON

CRD# 4630106

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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

BRANDON CARROLL JOHNSON (CRD# 4630106)

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 **01/19/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	JFG FAMILY OFFICE	CRD# 125101	04/22/2003

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	JFG WEALTH MANAGEMENT, LLC	285023	DENVER, CO	08/26/2016 - 01/19/2026

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
Criminal	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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **JFG FAMILY OFFICE**
Main Address: 1144 FIFTEENTH STREET
SUITE 3950
DENVER, CO 80202
Firm ID#: 125101

	Regulator	Registration	Status	Date
IA	Colorado	Investment Adviser Representative	Approved	04/22/2003
IA	Texas	Investment Adviser Representative	Restricted Approval	05/13/2016

Branch Office Locations

JFG FAMILY OFFICE
CONIFER, CO



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, 0 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
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/27/2003
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PROFESSIONAL DESIGNATIONS

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

Chartered Financial Analyst

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	08/26/2016 - 01/19/2026	JFG WEALTH MANAGEMENT, LLC	CRD# 285023	DENVER, CO

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
07/2016 - Present	JFG WEALTH MANAGEMENT, LLC	CEO/INVESTMENT ADVISER REPRESENTATIVE	Y	Denver, CO, United States
01/2002 - Present	JOHNSON FINANCIAL GROUP	MANAGER	Y	DENVER, 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) JOHNSON FINANCIAL GROUP LLC; INVESTMENT-RELATED; 1144 15th STREET, SUITE 3950, DENVER, CO 80202; REGISTERED INVESTMENT ADVISER; PRESIDENT; 01/2002; APPROXIMATELY 40 HOURS/MONTH DEVOTED DURING SECURITIES TRADING HOURS; MANAGE THE ADVISORY FIRM. (2) UNIVERSITY OF DENVER; NON-INVESTMENT RELATED; TRUSTEE; 07/2016; 5 HOURS/MONTH 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
Criminal	2

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 2

Reporting Source:	Individual
Court Details:	DENVER DISTRICT COURT, DENVER COUNTY, COLORADO. DOCKET # 93CR002439
Charge Date:	08/22/1993
Charge Details:	I. THIRD DEGREE BURGLARY, BREAKING INTO NEWSPAPER MACHINES. 1)EIGHT COUNTS, 2)FELONY, 3)SEVEN COUNTS DISMISSED, PLED GUILTY IN ONE COUNT, THEN WITHDRAWN, AS STIPULATED BY DEFFERED JUDGEMENT AGREEMENT WITH UNDERSTANDING THAT CASE WOULD BE DISMISSED AFTER TWO YEARS OF NO VIOLATIONS.
Felony?	Yes
Current Status:	Final
Status Date:	12/21/1995
Disposition Details:	I.A)SEVEN CHARGES DISMISSED, ONE CHARGE DEFFERED AND DISMISSED. B)12/21/95. C)UPON COMPLETION OF TWO YEARS PROBATION, PLEA WITHDRAWN, CASE DISMISSED. D)12/21/93-12/21/95. E)12/21/93. F)\$402.96. G)PAID 12/21/93
Broker Statement	AS AN EXTREMELY IRRESPONSIBLE SENIOR PRANK, A GROUP OF FRIENDS AND I DECIDED TO CUT THE LOCKS ON THE NEWSPAPER MACHINES IN OUR NEIGHBORHOOD AND TAKE THE CHANGE OUT AND THEN REPLACE THE COIN TRAYS. I HAD JUST TURNED 18 ON AUGUST 22, 1993, AND ANOTHER FRIEND AND I VOLUNTEERED TO PULL OFF THE PRANK WITHOUT STOPPING TO REALIZE HOW STUPID THE PRANK WAS AND HOW MUCH GRIEF IT WAS GOING TO CAUSE EVERYONE. WE COLLECTED \$82 IN QUARTERS AND DIMES. WE WERE ARRESTED AND WENT TO COURT AND THE JUDGE LAMBASTED OUR CHOICE OF SENIOR PRANKS. HE ISSUED A DEFFERED JUDGEMENT WHEREBY THE GUILTY PLEA WOULD BE WITHDRAWN AND THE CASE DISMISSED IF I COMPLETED THE TERMS AND CONDITIONS OF THE DEFFERED JUDGEMENT. THE PLEA WAS WITHDRAWN AND THE CASE WAS DISMISSED 12/21/95.



I HAVE SINCE GONE ON TO GRADUATE MAGNA CUM LAUDE FROM THE UNIVERISTY OF DENVER WITH A BACHELOR OF SCIENCE IN BUSINESS ADMINISTRATION, I RECEIVED MY MASTERS DEGREE IN FINANCE WITH A 3.9 GPA, AND I WILL BE TAKING LEVEL 3 OF THE CFA EXAM THIS MAY. I ALSO WENT ON TO BE NAMED TWO-TIME SCHOLAR-ATHLETE OF THE YEAR AT DU (ONLY TIME IN HISTORY FOR A LACROSSE PLAYER AT THE SCHOOL), AND WAS NAMED CAPTAIN OF THE VARSITY LACROSSE TEAM. I AM AN AFFILIATE MEMEBER OF THE ASSOCIATION FOR INVESTMENT MANAGEMENT & RESEARCH AS WELL AS THE DENVER SOCIETY OF SECURITY ANALYSTS.

Disclosure 2 of 2**Reporting Source:**

Individual

Court Details:

DUKES COUNTY COURT, EDGARTOWN, COMMONWEALTH OF MASSACHUSETTES. DOCKET # 9635CR0785

Charge Date:

08/05/1996

Charge Details:

I. ASSAULT AND BATTERY BY DANGEROUS WEAPON, SHOD FOOT: 1)FOUR COUNTS, 2)FELONY 3)PLED INNOCENT
II. ASSAULT AND BATTERY: 1)FOUR COUNTS, 2)MISDEMEANOR, 3)PLED INNOCENT

Felony?

Yes

Current Status:

Final

Status Date:

10/01/1996

Disposition Details:

I.A) NOLLE PROSEQUI, DISMISSED; B)10/01/1996; C/D/E/F/G:N/A
II.A) ACQUITTED; B)10/01/1996; C/D/E/F/G:N/A

Broker Statement

ON THE NIGHT OF AUGUST 4, 1996 I WAS WALKING DOWN THE BEACH TOWARDS MY SISTER WHEN I SAW FOUR MEN WHO HAD APPROACHED HER. THEY WERE HARRASSING HER AND AS SHE SAW ME WALK UP SHE CAME RUNNING OVER IN TEARS. I ASKED WHAT HAPPENDED AND SHE SAID THAT THESE GUYS WOULD NOT LEAVE HER ALONE AND THAT SHE HAD FEARED BEING ASSAULTED. AS I WAS ASKING HER THIS, ONE OF THE MEN CAME OVER TO ME AND PUSHED ME DOWN, CAUSING MY FEET TO BE BURNED IN A BEACH FIRE, AND ASKED ME IF I HAD A PROBLEM. AS I STOOD BACK UP ANOTHER ONE OF THE MEN ATTACKED ME. FEARING FOR THE SAFETY OF MY SISTER AND MYSELF, I ACTED IN SELF-DEFENSE BY PUNCHING THE MEN WHO WERE ATTACKING ME. CHARGES WERE FILED AGAINT ME BECAUSE THREE OF THE MEN HAD CUTS OR BRUISES, AND THE GROUP SAID THAT I INSTIGATED THE DISTURBANCE. I WAS ARRESTED FOR ASSUALT AND BATTERY BY DANGEROUS WEAPON BECAUSE THE POLICE OFFICER STATED THAT I HAD SHOES ON AND KICKED SOMEBODY WITH THEM. THESE FELONY CHARGES WERE DROPPED WHEN THE COURT REALIZED THAT I HAD BEEN ARRESTED WITHOUT WEARING ANY SHOES AND THAT I HAD TO GO TO THE HOSPITAL FOR THE BURNS ON MY FEET FROM BEING PUSHED INTO THE FIRE ON THE BEACH THAT NIGHT.

I WENT TO TRIAL FOR THE MISDEMEANOR AND WAS AQUITTED ON ALL CHARGES AS THE JURY TOOK LESS THAN 20 MINUTES TO DETERMINE THAT THE OTHER GUYS INITIATED THE TROUBLE AND THAT I WAS PROPERLY DEFENDING MY SISTER AND MYSELF. SEVERAL JURORS STATED AFTER THE VERDICT THAT NO CHARGES SHOULD HAVE EVER BEEN FILED AGAINST ME.

I HAVE SINCE GONE ON TO GRADUATE MAGNA CUM LAUDE FROM THE UNIVERISTY OF DENVER WITH A B.S. IN BUSINESS ADMINISTRATION, I



RECEIVED MY MASTERS DEGREE IN FINANCE WITH A 3.9 GPA, AND I WILL BE TAKING LEVEL 3 OF THE CFA EXAM THIS MAY. I ALSO WENT ON TO BE NAMED 2-TIME SCHOLAR-ATHLETE OF THE YEAR AT DU (ONLY TIME IN HISTORY FOR A LACROSSE PLAYER AT THE SCHOOL), AND WAS NAMED CAPTAIN OF THE VARSITY LACROSSE TEAM. I AM AN AFFILIATE MEMEBER OF THE ASSOCIATION FOR INVESTMENT MANAGEMENT AND RESEARCH AS WELL AS THE DSSA.



End of Report

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