



IAPD Report

Eric Michael Grafnitz

CRD# 4931788

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



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

Eric Michael Grafnitz (CRD# 4931788)

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 **03/26/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WEALTH ENHANCEMENT BROKERAGE SERVICES, LLC	CRD# 130139	07/12/2021
IA	WEALTH ENHANCEMENT ADVISORY SERVICES, LLC	CRD# 116407	09/30/2021

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	LPL FINANCIAL LLC	6413	PLYMOUTH, MN	07/08/2021 - 06/30/2025
IA	FSC SECURITIES CORPORATION	7461	ATLANTA, GA	09/16/2020 - 09/18/2020
IA	ROYAL ALLIANCE ASSOCIATES, INC.	23131	SCOTTSDALE, AZ	09/16/2020 - 09/18/2020

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
Criminal	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 **11** 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
B	FINRA	General Securities Principal	Approved	07/12/2021
B	FINRA	General Securities Representative	Approved	07/12/2021
B	FINRA	Operations Professional	Approved	02/05/2025
B	Alabama	Agent	Approved	03/26/2026
B	Arkansas	Agent	Approved	04/02/2026
B	Delaware	Agent	Approved	03/26/2026
B	Minnesota	Agent	Approved	06/30/2025
B	Mississippi	Agent	Approved	04/02/2026
B	Nebraska	Agent	Approved	03/26/2026
B	Nevada	Agent	Approved	03/26/2026
B	Oklahoma	Agent	Approved	03/26/2026
B	Rhode Island	Agent	Approved	03/31/2026
B	Virginia	Agent	Approved	03/27/2026



Qualifications

Regulator	Registration	Status	Date
B Washington	Agent	Approved	03/17/2026

Branch Office Locations

505 N HIGHWAY 169
SUITE 900
PLYMOUTH, MN 55441

EDINA, MN

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 Minnesota	Investment Adviser Representative	Approved	09/30/2021

Branch Office Locations

WEALTH ENHANCEMENT ADVISORY SERVICES, LLC
505 N HIGHWAY 169
SUITE 900
PLYMOUTH, MN 55441



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 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	12/17/2018

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination (S99TO)	Series 99TO	02/05/2025
B	Securities Industry Essentials Examination (SIE)	SIE	10/23/2018
B	General Securities Representative Examination (S7)	Series 7	10/22/2018
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/14/2005

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	02/11/2019
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/20/2005



PROFESSIONAL DESIGNATIONS

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

No information reported.

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
B	07/08/2021 - 06/30/2025	LPL FINANCIAL LLC	CRD# 6413	PLYMOUTH, MN
IA	09/16/2020 - 09/18/2020	FSC SECURITIES CORPORATION	CRD# 7461	ATLANTA, GA
IA	09/16/2020 - 09/18/2020	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
IA	09/16/2020 - 09/18/2020	SAGEPOINT FINANCIAL, INC.	CRD# 133763	PHOENIX, AZ
IA	09/16/2020 - 09/18/2020	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	OAKDALE, MN
B	09/15/2020 - 09/18/2020	FSC SECURITIES CORPORATION	CRD# 7461	ATLANTA, GA
B	09/15/2020 - 09/18/2020	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	09/15/2020 - 09/18/2020	SAGEPOINT FINANCIAL, INC.	CRD# 133763	SCOTTSDALE, AZ
B	09/15/2020 - 09/18/2020	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	OAKDALE, MN
IA	04/16/2019 - 07/03/2019	QUESTAR ASSET MANAGEMENT, INC.	CRD# 133358	MINNEAPOLIS, MN
B	10/23/2018 - 07/03/2019	QUESTAR CAPITAL CORPORATION	CRD# 43100	MINNEAPOLIS, MN
IA	03/01/2019 - 03/13/2019	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	OAKDALE, MN
IA	02/12/2019 - 03/01/2019	QUESTAR ASSET MANAGEMENT, INC.	CRD# 133358	MINNEAPOLIS, MN
B	11/19/2007 - 03/23/2009	EDWARD JONES	CRD# 250	TEMPE, AZ
B	04/20/2005 - 05/17/2007	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	MINNEAPOLIS, MN
B	04/20/2005 - 07/03/2006	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN



Registration & Employment History

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
06/2021 - Present	WEALTH ENHANCEMENT ADVISORY SERVICES	INVESTMENT ADVISOR REPRESENTATIVE	Y	Plymouth, MN, United States
06/2021 - Present	WEALTH ENHANCEMENT BROKERAGE SERVICES	REGISTERED ADMIN	Y	PLYMOUTH, MN, United States
06/2021 - Present	WEALTH ENHANCEMENT GROUP	SR LICENSING SPECIALIST	Y	PLYMOUTH, MN, United States
06/2021 - 06/2025	LPL FINANCIAL LLC	REGISTERED ADMINISTRATIVE REPRESENTATIVE	Y	PLYMOUTH, MN, United States
09/2020 - 06/2021	GRADIENT FINANCIAL GROUP	COMMISSIONS ANALYST	Y	ARDEN HILLS, MN, United States
08/2020 - 09/2020	WOODBURY FINANCIAL SERVICES	COMMISSIONS REPRESENTATIVE	Y	OAKDALE, MN, United States
07/2019 - 08/2020	UNEMPLOYED	UNEMPLOYED	N	MINNEAPOLIS, MN, United States
01/2017 - 07/2019	QUESTAR CAPITAL CORPORATION	SENIOR COMMISSION REPRESENTATIVE	Y	MINNEAPOLIS, MN, United States
05/2014 - 01/2017	QUESTAR CAPITAL CORPORATION	LICENSING REPRESENTATIVE	Y	MINNEAPOLIS, MN, 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.

7/21/2021 - WEALTH ENHANCEMENT ADVISORY SERVICES LLC - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - Financial Professional - Start Date: 6/21/21 - 160 Hours Per Month/126 Hours During Securities Trading - Time Spent 100% - I provide investment advisory services through Private Advisor Group, an independent investment advisor firm. I started this business activity in 7/2021. I expect to spend approximately 160 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>.



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	1

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 1

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	IN THE FOURTH JUDICIAL DISTRICT/JUVENILE DIVISION
Location of Court:	MINNEAPOLIS MN
Docket/Case #:	CASE NUMBER J0-98-059477
Charge Date:	05/26/1998
Charge(s) 1 of 1	
Formal Charge(s)/Description:	ASSAULT IN THE 2ND DEGREE
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Amended
Date of Amended Charge:	12/09/1998
Charge was Amended or reduced to:	MISDEMEANOR ASSAULT IN THE 5TH DEGREE
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	GUILTY
Disposition of Amended Charge:	Convicted
Current Status:	Final



Status Date: 01/02/1999

Disposition Date: 12/09/1998

Sentence/Penalty: A. PLED GUILTY TO ASSAULT IN THE 5TH DEGREE. B. 12/9/1998 C. 3 DAYS SENTENCE TO SERVE AND LETTER OF APOLOGY. D. 3 DAYS, 2 HOURS EACH DAY, OF COMMUNITY SERVICE. E. 9/10/1998 F. N/A G. N/A

Broker Statement I MYSELF, DID NOT ACTIVELY PARTICIPATE IN THE INCIDENT. IN FACT, I TRIED TO STOP SAID INCIDENT ATER IT STARTED. SINCE I WAS WITH THE PERSON WHO REALLY COMMITTED THE CRIME, I WAS INVOLVED IN THE COURT PROCEEDINGS.



End of Report

This page is intentionally left blank.