IAPD Report

Leslie Marie Johnson

CRD# 6028652

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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

Leslie Marie Johnson (CRD# 6028652)

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 **05/04/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ADVICE AND PLANNING SERVICES	CRD# 20472	10/28/2021
B	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	CRD# 20472	10/28/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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	CHARLES SCHWAB & CO., INC.	5393	Cheyenne, WY	09/21/2020 - 10/15/2021
IA	CHARLES SCHWAB & CO., INC.	5393	Cheyenne, WY	09/18/2020 - 10/15/2021
IA	MARKLE FINANCIAL LLC	302088	LARAMIE, WY	06/17/2019 - 08/31/2020

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

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

Employment 1 of 1

Firm Name: **ADVICE AND PLANNING SERVICES**

Main Address: 730 THIRD AVENUE
NEW YORK, NY 10017-3206

Firm ID#: 20472

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	10/28/2021
B	Arizona	Agent	Approved	04/28/2023
B	Idaho	Agent	Approved	08/14/2024
B	Illinois	Agent	Approved	06/16/2023
B	Iowa	Agent	Approved	04/08/2022
B	Kansas	Agent	Approved	07/08/2025
B	Kentucky	Agent	Approved	05/04/2026
B	Minnesota	Agent	Approved	08/22/2023
B	Nebraska	Agent	Approved	10/28/2021
IA	Nebraska	Investment Adviser Representative	Approved	11/03/2021
B	North Dakota	Agent	Approved	09/01/2023
B	Ohio	Agent	Approved	02/13/2023
B	South Dakota	Agent	Approved	01/04/2024

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Qualifications

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	06/13/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	08/22/2025
B	Wisconsin	Agent	Approved	09/22/2022
B	Wyoming	Agent	Approved	06/25/2024

Branch Office Locations

ADVICE AND PLANNING SERVICES
14301 FNB Parkway
Suites 100
Omaha, NE 68154

ADVICE AND PLANNING SERVICES
233 S. 13th Street
Suite 1100
Lincoln, NE 68508

ADVICE AND PLANNING SERVICES
Omaha, NE

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

Principal/Supervisory Exams

	Exam	Category	Date
	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	03/10/2012

State Securities Law Exams

		Exam	Category	Date
IA	B	Uniform Combined State Law Examination (S66)	Series 66	04/14/2012

PROFESSIONAL DESIGNATIONS

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

No information reported.

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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	09/21/2020 - 10/15/2021	CHARLES SCHWAB & CO., INC.	CRD# 5393	Cheyenne, WY
IA	09/18/2020 - 10/15/2021	CHARLES SCHWAB & CO., INC.	CRD# 5393	Cheyenne, WY
IA	06/17/2019 - 08/31/2020	MARKLE FINANCIAL LLC	CRD# 302088	LARAMIE, WY
IA	04/18/2012 - 06/13/2019	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	LARAMIE, WY
B	03/12/2012 - 06/13/2019	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	LARAMIE, WY

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
10/2021 - Present	TIAA	Wealth Management Advisor	Y	Laramie, WY, United States
10/2021 - Present	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	Registered Representative	Y	Laramie, WY, United States
09/2020 - 09/2021	Charles Schwab & Co., Inc.	Registered Representative	Y	Cheyenne, WY, United States
06/2019 - 08/2020	Markle Financial LLC	Investment Adviser Representative & Chief Compliance Officer	Y	LARAMIE, WY, United States
03/2012 - 08/2020	Markle Financial	Advisor	Y	LARAMIE, WY, 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.

FAITHFUL JOHNSONS, LLC
POSITION: Part Owner NATURE: The business has been established in order to purchase real estate in the future. It has never been funded. INVESTMENT RELATED: Yes NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 01/23/2024
ADDRESS: Home Address, Omaha NE 68136, United States

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Registration & Employment History

OTHER BUSINESS ACTIVITIES

DESCRIPTION: Owning and maintaining real estate

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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:	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC
Allegations:	The client claims the rollover process was misrepresented when liquidations were processed instead of transfers in kind.
Product Type:	Annuity-Fixed Annuity-Variable Mutual Fund
Alleged Damages:	$5,372.69
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:	09/04/2025
Complaint Pending?	No
Status:	Denied
Status Date:	09/10/2025
Settlement Amount:	
Individual Contribution Amount:	

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Broker Statement

The client ("client") was referred to me from internal TIAA partners in 04/2025. She was referred because in meetings and phone calls with multiple TIAA representatives, client, said she wanted to consolidate her accounts and go through the financial planning process.

Before I ever met the client, she had been trying to consolidate accounts and move them to TIAA. She was unsuccessful because she was trying to move Non-Qualified ("NQ") into an IRA and trying to move an account titled in her deceased spouse's name into her IRA as well. These rollovers and transfers were rejected for Not-In-Good-Order before the client ever met with me.
After meeting the client and going through a full discovery session we began the planning process. On multiple occasions the client said she wanted to consolidate her accounts to make it easier and more manageable for distributions. In documented meeting notes, and in documented emails to the client, it was confirmed that the client wanted to move assets into TIAA from a NQ account. Regarding the movement on the NQ account from an external account to a TIAA brokerage account, because the client was moving from a brokerage account to a brokerage account, we discussed she could move them in-kind or liquidate and move in-cash. The client wanted to move in-kind because she wanted to maintain her current investments. These transfers occurred in-kind as requested by the client.

In our last meeting, the rollover transactions steps were discussed. The funds would move out of the employer plans and into the IRA, then would get invested when the client was ready to implement investment decisions. During that same meeting I reviewed the Investment Plan and recommendations from Morningstar. The client said they did not want to implement the investment recommendations at that time, and that they wanted me to re-run the updated Investment plan after the employer plans had rolled into the IRA to reflect the Morningstar recommendations based on the expanded fund lineup available in the IRA. I informed the client that there are no trading fees within the IRA. The liquidation and rollover of assets process was done with the client and a TIAA relationship manager over the phone on a recorded line. It was on the recorded line that the TIAA relationship manager reviewed the liquidation and rollover process including TIAA's standard required language that the price of the funds at the end of the day may be different than the price at the time of the call. The funds rolled into TIAA Traditional at the current crediting rate(s).

It was confirmed that the next steps would be to have me run an updated Investment Plan and then the client could determine if she wanted to implement the Morningstar recommendations.
The next day the client emailed alleging she did not know that trades would be placed, alleging that her account value dropped, and alleging that fees were assessed.
Thorough review of the case identified that it was stated multiple times in meetings, in emails to the client, and on the recorded line that trades would be placed. It was also identified that the during the call to liquidate, the client was made known on a recorded line through standard, required disclosure language that the prices of the funds would be determined at the close of business day and could be higher or lower than at the time of the transaction. It was also identified that there were no trading fees assessed and no rollover fees assessed.

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End of Report

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