



IAPD Report

Edward Andrew Johnson

CRD# 7869599

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6

i 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

Edward Andrew Johnson (CRD# 7869599)

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 **11/04/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL ENTERPRISE, LLC	CRD# 8733	11/14/2024
IA	LPL ENTERPRISE, LLC	CRD# 8733	11/14/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	ENGLEWOOD, CO	06/20/2024 - 11/14/2024
B	PRUCO SECURITIES, LLC.	5685	ENGLEWOOD, CO	06/18/2024 - 11/14/2024

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	3



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

Employment 1 of 1

Firm Name: **LPL ENTERPRISE, LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 8733

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	11/14/2024
B Arizona	Agent	Approved	11/14/2024
B Colorado	Agent	Approved	11/14/2024
IA Colorado	Investment Adviser Representative	Approved	11/14/2024
B Florida	Agent	Approved	07/14/2025
B Washington	Agent	Approved	10/24/2025

Branch Office Locations

LPL ENTERPRISE, LLC
8000 S CHESTER STREET
SUITE 325
ENGLEWOOD, CO 80112



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
------	----------	------

General Securities Representative Examination (S7TO)	Series 7TO	05/03/2024
--	------------	------------

Securities Industry Essentials Examination (SIE)	SIE	02/07/2024
--	-----	------------

State Securities Law Exams

Exam	Category	Date
------	----------	------

Uniform Combined State Law Examination (S66)	Series 66	05/28/2024
--	-----------	------------

PROFESSIONAL DESIGNATIONS

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

No information reported.



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	06/20/2024 - 11/14/2024	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	ENGLEWOOD, CO
B	06/18/2024 - 11/14/2024	PRUCO SECURITIES, LLC.	CRD# 5685	ENGLEWOOD, 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
11/2024 - Present	LPL ENTERPRISE, LLC	Mass Transfer	Y	ENGLEWOOD, CO, United States
07/2024 - Present	The Prudential Insurance Company of America	Financial Professional	Y	Englewood, CO, United States
03/2024 - 11/2024	PRUCO SECURITIES LLC	REGISTERED REP	Y	ENGLEWOOD, CO, United States
01/2023 - 12/2023	No smile left behind	Operation supervisor	N	Englewood, CO, United States
06/2020 - 01/2023	GrubHub	Delivery driver	N	Englewood, CO, United States
06/2020 - 01/2023	Lyft	Driver	N	Englewood, CO, United States
06/2020 - 01/2023	Uber	Driver	N	Englewood, CO, United States
03/2020 - 01/2023	DoorDash	Delivery driver	N	Englewood, CO, United States
11/2014 - 02/2020	Allhealth network	Operations/ business support specialist	N	Englewood, 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.

American soil/The chaperones
 Not investment related
 3675 S. Broadway, Englewood, CO 80113
 Music/band
 Band leader
 Owner



Registration & Employment History



OTHER BUSINESS ACTIVITIES

09/2003
20-32 hours a month
Zero during securities hours
Playing shows, hosting open stages



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	3

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 3

Reporting Source: Individual

Formal Charges were brought in: State Court

Name of Court: Arapahoe county court

Location of Court: Arapahoe county, Colorado

Docket/Case #: 8900331 was the arrest #

Charge Date: 01/09/1989

Charge(s) 1 of 2

Formal Charge(s)/Description: Conditional release violation

No of Counts: 1

Felony or Misdemeanor: Felony

Plea for each charge: Guilty

Disposition of charge: Convicted

Charge(s) 2 of 2

Formal Charge(s)/Description: This was approximately the day that I was taking to department of corrections to begin serving my sentence. They listed on the CBI as a new arrest when being placed in the custody of the department of corrections.

No of Counts: 1

Felony or Misdemeanor: Felony

Plea for each charge: Guilty

Disposition of charge: This was the day that I was booked into department of corrections, approximately. This stems from the original felony charge.

Current Status: Final



Status Date: 02/13/1989

Disposition Date: 01/09/1989

Sentence/Penalty: I was sentenced to four years department of corrections. The start date of the penalty was approximately.02/13/1989 the end date of the penalty was when my sentence was transferred back to community corrections, approximately 10 months later.

Broker Statement I had failed community corrections after failing my deferred judgment probation, so I was sentenced to the department of corrections, which was then transferred back to community corrections, and then to parole

Disclosure 2 of 3

Reporting Source: Individual

Formal Charges were brought in: State Court

Name of Court: Arapahoe county court

Location of Court: Arapahoe county, Colorado

Docket/Case #: Arrest #8807406

Charge Date: 08/02/1988

Charge(s) 1 of 3

Formal Charge(s)/Description: Felony Theft

No of Counts: 1

Felony or Misdemeanor: Felony

Plea for each charge: No Plea

Disposition of charge: Dismissed

Charge(s) 2 of 3

Formal Charge(s)/Description: Contempt of court.

No of Counts: 1

Felony or Misdemeanor: Felony

Plea for each charge: Guilty

Disposition of charge: Pled guilty

Charge(s) 3 of 3

Formal Charge(s)/Description: Misdemeanor theft

No of Counts: 1

Felony or Misdemeanor: Misdemeanor

Plea for each charge: Guilty

Disposition of charge: Pled guilty

Current Status: Final

Status Date: 01/09/1989



Disposition Date: 08/02/1988

Sentence/Penalty: I was sentenced to four years community corrections. This would have started shortly after 08/02/1988
I did have a find that I paid for a misdemeanor charge for theft that I received at the same time. I don't recall how much it was, but it was paid. The end date of penalty would've been approximately 01/09/1986 when I was re-arrested for violating the Community Correction sentence.

Disclosure 3 of 3

Reporting Source: Individual

Formal Charges were brought in: State Court

Name of Court: Arapahoe county court

Location of Court: Arapahoe County, Colorado

Docket/Case #: 8604927. Arrest# unsure if this is same as docket/case

Charge Date: 07/21/1986

Charge(s) 1 of 1

Formal Charge(s)/Description: 01 Dangerous Drugs

No of Counts: 1

Felony or Misdemeanor: Felony

Plea for each charge: Guilty

Disposition of charge: Deferred Adjudication

Current Status: Final

Status Date: 08/08/1988

Disposition Date: 07/21/1986

Sentence/Penalty: I was sentenced two years deferred judgment/probation. The start date would have been shortly after 07/21/1986 and the end date was when I was re-arrested for violation of probation approximately 08/02/1988. I was assessed a \$2000 fine I believe although I can't be exact but this was paid during the two-year period before my rearrest.



End of Report

This page is intentionally left blank.