

BrokerCheck Report
POWELLJOHNSON
 CRD# 122956

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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.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

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Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. [For more information about FINRA, visit www.finra.org.](http://www.finra.org)

**POWELLJOHNSON**

CRD# 122956

SEC# 8-65549

Main Office Location

3322 WEST END AVENUE
NINTH FLOOR
NASHVILLE, TN 37203

Mailing Address

3322 WEST END AVENUE
NINTH FLOOR
NASHVILLE, TN 37203

Business Telephone Number

615-277-7000

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a corporation.

This firm was formed in Tennessee on 08/07/2002.

Its fiscal year ends in June.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This brokerage firm is no longer registered with FINRA or a national securities exchange.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**

Registration Withdrawal Information

This section provides information relating to the date the brokerage firm ceased doing business and the firm's financial obligations to customers or other brokerage firms.



Date firm ceased business: 11/12/2004

Does this brokerage firm owe any money or securities to any customer or brokerage firm? No



Firm Profile

This firm is classified as a corporation.

This firm was formed in Tennessee on 08/07/2002.

Its fiscal year ends in June.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

POWELLJOHNSON, INC.

Doing business as POWELLJOHNSON

CRD# 122956

SEC# 8-65549

Main Office Location

3322 WEST END AVENUE
NINTH FLOOR
NASHVILLE, TN 37203

Mailing Address

3322 WEST END AVENUE
NINTH FLOOR
NASHVILLE, TN 37203

Business Telephone Number

615-277-7000



Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any): J.E. POWELL, LLC

Is this a domestic or foreign entity or an individual? Domestic Entity

Position SHAREHOLDER

Position Start Date 08/2002

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): JOHNSON, DAVID BRUCE
2078322

Is this a domestic or foreign entity or an individual? Individual

Position PRESIDENT/CHAIRMAN/COO/REGISTERED PRINCIPAL

Position Start Date 08/2002

Percentage of Ownership 10% but less than 25%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): LOVELL MINNICK EQUITY PARTNERS, LP

Is this a domestic or foreign entity or an individual? Domestic Entity

Position MINORITY OWNER

Position Start Date 07/2003

Percentage of Ownership 10% but less than 25%

Firm Profile



Direct Owners and Executive Officers (continued)

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? Yes

Legal Name & CRD# (if any): BROWER, RODNEY CECIL
4585001

Is this a domestic or foreign entity or an individual? Individual

Position EXECUTIVE VP/CFO/FINOP

Position Start Date 08/2002

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): OBRYANT, CHARLES JOHN III
870530

Is this a domestic or foreign entity or an individual? Individual

Position MANAGING DIRECTOR

Position Start Date 05/2003

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? Yes

Legal Name & CRD# (if any): POWELL, JEFFREY ELDON
723074

Firm Profile



Direct Owners and Executive Officers (continued)

Is this a domestic or foreign entity or an individual?	Individual
Position	SECRETARY/CHAIRMAN/CEO/DESIGNATED PRINCIPAL
Position Start Date	08/2002
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	SHERCK, SARAH JANE 2602716
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER/MUNI PRINCIPAL/CROP/REGISTERED PRINCIPAL
Position Start Date	02/2003
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	SHIPP, KIZZIE DENE 872825
Is this a domestic or foreign entity or an individual?	Individual
Position	MANAGING DIRECTOR OF OPERATIONS
Position Start Date	01/2004
Percentage of Ownership	Less than 5%

Firm Profile



Direct Owners and Executive Officers (continued)

Does this owner direct the management or policies of the firm?

Yes

Is this a public reporting company?

No

Legal Name & CRD# (if any):

WULLER, DAVID JOSEPH

2679277

Is this a domestic or foreign entity or an individual?

Individual

Position

ROP/SROP

Position Start Date

12/2002

Percentage of Ownership

Less than 5%

Does this owner direct the management or policies of the firm?

No

Is this a public reporting company?

No



Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

Legal Name & CRD# (if any): POWELL, JEFFREY ELDON

723074

Is this a domestic or foreign entity or an individual? Individual

Company through which indirect ownership is established J.E. POWELL, LLC

Relationship to Direct Owner MEMBER

Relationship Established 08/2002

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): KANG, DANNY ALLAN

Is this a domestic or foreign entity or an individual? Individual

Company through which indirect ownership is established LOVELL MINNICK EQUITY PARTNERS, LP

Relationship to Direct Owner GENERAL PRTN. OF MINORITY SHAREHOLDER

Relationship Established 07/2003

Percentage of Ownership Other General Partners

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? Yes

Legal Name & CRD# (if any): MINNICK, JAMES EDWARD

Is this a domestic or foreign Individual

Firm Profile



Indirect Owners (continued)
entity or an individual?

Company through which indirect ownership is established	LOVELL MINNICK EQUITY PARTNERS, LP
Relationship to Direct Owner	GENERAL PRTN. OF MINORITY SHAREHOLDER
Relationship Established	07/2003
Percentage of Ownership	Other General Partners
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	Yes

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.



Firm Operations



Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is no longer registered.

The firm's registration was from 12/20/2002 to 01/11/2005.



Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 12 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Mutual fund retailer
U S. government securities broker
Municipal securities dealer
Municipal securities broker
Broker or dealer selling variable life insurance or annuities
Solicitor of time deposits in a financial institution
Put and call broker or dealer or option writer
Investment advisory services
Non-exchange member arranging for transactions in listed securities by exchange member
Broker or dealer involved in a networking, kiosk or similar arrangment with a: bank, savings bank or association, or credit union

Firm Operations



Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does refer or introduce customers to other brokers and dealers.

Name:	NATIONAL FINANCIAL SERVICES LLC
CRD #:	13041
Business Address:	82 DEVONSHIRE STREET L3B BOSTON, MA 02109
Effective Date:	10/14/2002
Description:	APPLICANT CLEARS ON A FULLY-DISCLOSED BASIS THROUGH NATIONAL FINANCIAL SERVICES, LLC.

Firm Operations

Industry Arrangements



This firm does have books or records maintained by a third party.

Name: NATIONAL FINANCIAL SERVICES LLC
CRD #: 13041
Business Address: 82 DEVONSHIRE STREET L3B
BOSTON, MA 02109
Effective Date: 10/14/2002
Description: APPLICANT CLEARS ON A FULLY-DISCLOSED BASIS THROUGH
NATIONAL FINANCIAL SERVICES, LLC.

This firm does have accounts, funds, or securities maintained by a third party.

Name: NATIONAL FINANCIAL SERVICES LLC
CRD #: 13041
Business Address: 82 DEVONSHIRE STREET L3B
BOSTON, MA 02109
Effective Date: 10/14/2002
Description: APPLICANT CLEARS ON A FULLY-DISCLOSED BASIS THROUGH NATIONAL
FINANCIAL SERVICES, LLC

This firm does have customer accounts, funds, or securities maintained by a third party.

Name: NATIONAL FINANCIAL SERVICES LLC
CRD #: 13041
Business Address: 82 DEVONSHIRE STREET L3B
BOSTON, MA 02109
Effective Date: 10/14/2002
Description: APPLICANT CLEARS ON A FULLY-DISCLOSED BASIS THROUGH
NATIONAL FINANCIAL SERVICES LLC

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.



Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- in control of
 - controlled by
 - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.**

POWELLJOHNSON INSURANCE AGENCY INC. is controlled by the firm.

Business Address:	3322 WEST END AVENUE NINTH FLOOR NASHVILLE, TN 37203
Effective Date:	10/15/2003
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	POWELLJOHNSON INSURANCE AGENCY IS A WHOLLY OWNED ENTITY OF POWELLJOHNSON.

WESTEND ADVISORS is controlled by the firm.

CRD #:	126455
Business Address:	4064 COLONY ROAD SUITE 130 TWO MORROCROFT CENTRE CHARLOTTE, NC 28211
Effective Date:	04/03/2003
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	WEST END ADVISORS IS A WHOLLY OWNED ENTITY OF POWELLJOHNSON

Firm Operations



Organization Affiliates (continued)

This firm is not directly or indirectly, controlled by the following:

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank

End of Report



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