

## BrokerCheck Report

**Robert Bennett Johnston**

CRD# 1161633

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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.

**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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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).



## Robert B. Johnston

CRD# 1161633

### Currently employed by and registered with the following Firm(s):

**IA LPL FINANCIAL LLC**  
 2041 ROSECRANS AVE STE 340  
 STE. 340  
 EL SEGUNDO, CA 90245  
 CRD# 6413  
 Registered with this firm since: 06/05/2025

**B LPL FINANCIAL LLC**  
 2041 ROSECRANS AVE STE 340  
 STE. 340  
 EL SEGUNDO, CA 90245  
 CRD# 6413  
 Registered with this firm since: 06/05/2025

## Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

### Broker Qualifications

#### This broker is registered with:

- 1 Self-Regulatory Organization
- 11 U.S. states and territories

#### This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

### Registration History

#### This broker was previously registered with the following securities firm(s):

- IA WESTERN INTERNATIONAL SECURITIES**  
 CRD# 39262  
 PASADENA, CA  
 05/2008 - 06/2025
- B WESTERN INTERNATIONAL SECURITIES, INC.**  
 CRD# 39262  
 El Segundo, CA  
 05/2008 - 06/2025
- IA FINANCIAL WEST GROUP**  
 CRD# 16668  
 RENO, NV  
 01/2006 - 06/2008

### Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

#### The following types of disclosures have been reported:

Type	Count
Investigation	1
Customer Dispute	3



## Broker Qualifications

### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

**This individual is currently registered with 1 SRO and is licensed in 11 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Office Address: **1055 LPL WAY  
FORT MILL, SC 29715**

Firm CRD#: **6413**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	06/05/2025

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	06/05/2025
B	California	Agent	Approved	06/05/2025
IA	California	Investment Adviser Representative	Approved	06/05/2025
IA	Colorado	Investment Adviser Representative	Approved	06/05/2025
B	Florida	Agent	Approved	06/06/2025
B	Michigan	Agent	Approved	07/01/2025
B	New York	Agent	Approved	06/05/2025
B	Ohio	Agent	Approved	06/05/2025
B	Oregon	Agent	Approved	06/05/2025
B	Texas	Agent	Approved	06/05/2025
B	Virginia	Agent	Approved	06/05/2025
IA	Virginia	Investment Adviser Representative	Approved	06/05/2025



Broker Qualifications

Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
<div>B</div> Washington	Agent	Approved	06/11/2025

Branch Office Locations

LPL FINANCIAL LLC  
2041 ROSECRANS AVE STE 340  
STE. 340  
EL SEGUNDO, CA 90245

LPL FINANCIAL LLC  
VIRGINIA BEACH, VA

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## Broker Qualifications

### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

**This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> National Commodity Futures Examination	Series 3	11/06/1995
<b>B</b> General Securities Representative Examination	Series 7	11/19/1983

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	02/26/1996
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	03/13/1987

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).



Broker Qualifications

Professional Designations

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner
Chartered Financial Consultant

This representative holds or did hold **2** 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 and Employment History

### Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
IA	05/2008 - 06/2025	WESTERN INTERNATIONAL SECURITIES	39262	El Segundo, CA
B	05/2008 - 06/2025	WESTERN INTERNATIONAL SECURITIES, INC.	39262	El Segundo, CA
B	01/2006 - 06/2008	FINANCIAL WEST GROUP	16668	EL SEGUNDO, CA
IA	01/2006 - 06/2008	FINANCIAL WEST GROUP	16668	EL SEGUNDO, CA
B	05/2002 - 02/2006	CITIGROUP GLOBAL MARKETS INC.	7059	TORRANCE, CA
IA	05/2002 - 02/2006	CITIGROUP GLOBAL MARKETS INC.	7059	TORRANCE, CA
IA	07/1997 - 05/2002	PRUDENTIAL SECURITIES INCORPORATED	7471	ROLLING HILLS ESTATES, CA
B	06/1994 - 05/2002	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B	08/1990 - 05/1994	PAINWEBBER INCORPORATED	8174	WEEHAWKEN, NJ
B	09/1987 - 09/1990	OPPENHEIMER & CO., INC.	630	NEW YORK, NY
B	09/1986 - 09/1987	BEAR, STEARNS & CO. INC.	79	
B	12/1985 - 10/1986	R. H. MOULTON & CO.	690	
B	05/1985 - 12/1985	B.O.C.L. SECURITIES CORP.	15332	
B	01/1984 - 05/1985	COASTAL SECURITIES CORPORATION	8523	
B	11/1983 - 12/1983	CALIFORNIA MUNICIPAL INVESTORS, INC.	7311	

### Employment History





## Registration and Employment History

### Employment History, continued

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment	Employer Name	Position	Investment Related	Employer Location
06/2025 - Present	LPL FINANCIAL LLC	Financial Advisor	Y	El Segundo, CA, United States
05/2008 - 06/2025	Western International Securities, Inc.	Registered Representative	Y	Pasadena, CA, United States

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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. 6/5/2025: Robert B Johnston Investments Inc.; At reported business location(s); Business Entity For Tax/Investment Purposes Only; Inv. related; start date 6/10/2022; 160hrs/mo. during trading.

## Disclosure Events



### What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
  - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
  - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
    - A "pending" event involves allegations that have not been proven or formally adjudicated.
    - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" event has been concluded and its resolution is not subject to change.
  - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	1	2	N/A
Investigation	1	N/A	N/A



## Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

### Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	CIBC WORLD MARKETS CORP.
<b>Allegations:</b>	CHURNING, MISREPRESENTATION, BREACH OF FIDUCIARY DUTY, UNSUITABILITY, AND FRAUD. ALLEGED DAMAGES \$214,428.02, \$1 MILLION PUNITIVE INTEREST AND FEES, ETC.
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Alleged Damages:</b>	\$1,214,428.02

### Customer Complaint Information

<b>Date Complaint Received:</b>	10/01/1992
<b>Complaint Pending?</b>	No
<b>Status:</b>	Arbitration/Reparation
<b>Status Date:</b>	10/01/1992
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	

### Arbitration Information

<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	PHILADELPHIA STOCK EXCHANGE ARBITRATION, DOCKET CASE NO. PSE ARL-08312
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**Date Notice/Process Served:** 10/01/1992  
**Arbitration Pending?** No  
**Disposition:** Award to Customer  
**Disposition Date:** 10/24/1994  
**Monetary Compensation Amount:** \$100,000.00  
**Individual Contribution Amount:** \$0.00

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**Reporting Source:** Firm  
**Employing firm when activities occurred which led to the complaint:** OPPENHEIMER & CO., INC.  
**Allegations:** Churning, misrepresentation, breach of fiduciary duty, unsuitability, and fraud. Alleged damages \$214,428.02, \$1 mill. punitive, interest fees, etc.

**Product Type:**  
**Alleged Damages:** \$214,428.02

### Customer Complaint Information

**Date Complaint Received:**  
**Complaint Pending?** No  
**Status:** Arbitration/Reparation  
**Status Date:**  
**Settlement Amount:**  
**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** Philadelphia Stock Exchange; PSE ARC-08312  
**Date Notice/Process Served:** 10/13/1992  
**Arbitration Pending?** No



**Disposition:** Award to Customer

**Disposition Date:** 10/24/1994

**Monetary Compensation Amount:** \$100,000.00

**Individual Contribution Amount:**

**Firm Statement** On 10-24-94 the arbitrators, in a claim for \$555,993, ordered the rescission of two units of Self-Storage Preferred Partners and directed that they be returned to Oppenheimer and that Oppenheimer pay \$100,000 to the claimant right, title and interest in two units of S.S.P.P.L.P.  
Not Provided

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**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** OPPENHEIMER & CO., INC.

**Allegations:** CLAIMANT ALLEGES BREACH OF FIDUCIARY DUTY, CHURNING, MISREPRESENTATION REGARDING SELF STORAGE, L.P. AND OTHER LISTED EQUITIES WHILE INVESTMENT EXECUTIVE WAS EMPLOYED AT OPPENHEIMER & CO., INC. ALLEGED DAMAGES ARE UNSPECIFIED.

**Product Type:**

**Alleged Damages:** \$214,428.02

## Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

## Arbitration Information



<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	PHILADELPHIA STOCK EXCHANGE; PSE ARC-08312
<b>Date Notice/Process Served:</b>	10/13/1992
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Award to Customer
<b>Disposition Date:</b>	10/24/1994
<b>Monetary Compensation Amount:</b>	\$100,000.00
<b>Individual Contribution Amount:</b>	
<b>Broker Statement</b>	<p>ON 10/24/94 THE ARBITRATORS, IN A CLAIM FOR \$555,993, ORDERED THE RESCISSION OF TWO UNITS OF SELF-STORAGE PREFERRED PARTNERS AND DIRECTED IN THAT THEY BE RETURNED TO OPPENHEIMER AND THAT OPPENHEIMER PAY 100,000 TO THE CLAIMANT RIGHT, TITLE AND INTEREST IN TWO UNITS OF S.S.P.P.L.P. [CUSTOMER] WAS A SOPHISTICATED INVESTOR WHO UNDERSTOOD ALL OF THE TRANSACTIONS AND OWNED OTHER LIMITED PARTNERSHIPS BECAUSE HE NEEDED THE LOSSES AT THE TIME. THE RECISSION OF TWO UNITS WAS A SYMPATHY AWARD TO [SPOUSE] ([CUSTOMER'S] WIDOW) THE UNITS WERE VALUED AT 50 CENTS ON THE DOLLAR OVER TIME.</p>



## Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

### Disclosure 1 of 1

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** OPPENHEIMER & CO. INC.

**Allegations:** VIOLATIONS OF FEDERAL AND STATE SECURITIES LAW AND NEGLIGENCE. ALLEGED LOSSES WERE &25,000.00.

**Product Type:**

**Alleged Damages:** \$25,000.00

### Customer Complaint Information

**Date Complaint Received:** 09/22/1989

**Complaint Pending?** No

**Status:** Settled

**Status Date:**

**Settlement Amount:** \$25,000.00

**Individual Contribution Amount:** \$0.00

**Firm Statement** OPPENHEIMER PAID \$25,000.00.  
Not Provided

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** OPPENHEIMER & CO. INC.

**Allegations:** OPPENHEIMER IN RECEIPT OF THE ABOVE MATTER WHICH ALLEGED VIOLATIONS OF FEDERAL AND STATE SECURITIES LAW AND NEGLIGENCE. ALLEGED LOSSES WERE \$25,000.

**Product Type:**

**Alleged Damages:** \$25,000.00



## Customer Complaint Information

**Date Complaint Received:** 09/22/1989

**Complaint Pending?** No

**Status:** Settled

**Status Date:**

**Settlement Amount:** \$25,000.00

**Individual Contribution Amount:** \$0.00

### Broker Statement

OPPENHEIMER & CO INC. SETTLED WITH CLIENT FOR \$25,000. \$13,000 WAS IN CUSTOMER A/C FROM SALE OF BONDS BY OPPENHEIMER MANAGEMENT \$12,000 WAS PAID BY OPPENHEIMER & CO. TO TOTAL \$25,000.  
THE [CUSTOMER] ACCOUNT WAS INHERITED FROM ANOTHER BROKER, [OTHER FIRM EMPLOYEE]. I ONLY TALKED WITH [CUSTOMER] TWICE. ONCE, WHEN HE GOT SOME TEXAS AMERICAN BANK BONDS, BECAUSE I WAS REGISTERED IN ARKANSAS AND [OTHER FIRM EMPLOYEE] WAS NOT.  
I AGAIN SPOKE WITH [CUSTOMER] AFTER [OTHER FIRM EMPLOYEE] LEFT OPPENHEIMER & CO., ASKING IF HE WANTED TO SELL THE BONDS. HE SAID HE WOULD THINK IT. I NEVER TALKED WITH HIM AGAIN, BECAUSE OPPENHEIMER MANAGEMENT THEN TOOK OVER THE ACCOUNT.





## Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

### Disclosure 1 of 1

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** PSI

**Allegations:** CLIENT ALLEGES FA ROBERT JOHNSTON AND ANOTHER FA, WHO ARE PARTNERS, BOUGHT AND SOLD FUNDS BENEFICIAL TO THEMSELVES AND NOT THEIR CLIENT.

**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$12,419.00

### Customer Complaint Information

**Date Complaint Received:** 04/29/2003

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

**Firm Statement** THIS MATTER IS PENDING.

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** PSI

**Allegations:** CLIENT ALLEGES FA ROBERT JOHNSTON AND ANOTHER FA, WHO ARE PARTNERS, BOUGHT AND SOLD FUNDS BENEFICIAL TO THEMSELVES AND NOT THEIR CLIENT.

**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$12,419.00

### Customer Complaint Information



**Date Complaint Received:** 04/29/2003

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** THE MATTER IS PENDING.



## Investigation

This type of disclosure event involves any ongoing formal investigation by an entity such as a grand jury state or federal agency, self-regulatory organization or foreign regulatory authority. Subpoenas, preliminary or routine regulatory inquiries, and general requests by a regulatory entity for information are not considered investigations and therefore are not included in a BrokerCheck report.

### Disclosure 1 of 1

**Reporting Source:** Firm

**Initiated By:** BETTY HAYNIE

**Notice Date:**

**Details:** CUSTOMER COMPLAINT  
N/A  
UNSUITABLE STOCK RECOMMENDATIONS, ALLEGED DAMAGES-\$16,000.00 PLUS.  
THE NASD DBCC FOR DISTRICT NO. 2 IS INVESTIGATING THE COMPLAINT AND HAS REQUESTED DOCUMENTS AND INFORMATION FROM OPPENHEIMER. NO SETTLEMENT MADE.  
Not Provided

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**Reporting Source:** Broker

**Initiated By:** BETTY HAYNIE

**Notice Date:**

**Details:** CUSTOMER COMPLAINT  
N/A  
UNSUITABLE STOCK RECOMMENDATIONS. ALLEGED DAMAGES-16,000.00 PLUS  
THE NASD DBCC FOR DISTRICT NO 2 IS INVESTIGATING THE COMPLAINT AND HAS REQUESTED DOCUMENTS AND INFORMATION FROM  
OPPENHEIMER. NO SETTLEMENT MADE.  
Not Provided

## End of Report



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