

BrokerCheck Report

JOHN MARK JOHNSTON

CRD# 2799351

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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:

- o 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
- o 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.



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)

Thank you for using FINRA BrokerCheck.

JOHN M. JOHNSTON

CRD# 2799351

Currently employed by and registered with the following Firm(s):**WELLS FARGO CLEARING SERVICES, LLC**6060 S AMERICAN PLAZA ST E
STE 400

TULSA, OK 74135

CRD# 19616

Registered with this firm since: 06/30/2017

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:**

- 5 Self-Regulatory Organizations
- 10 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):****BOK FINANCIAL SECURITIES, INC.**

CRD# 17530

BROKEN ARROW, OK

02/2001 - 07/2017

PRIMEVEST FINANCIAL SERVICES, INC.

CRD# 15340

ST. CLOUD, MN

07/1999 - 02/2001

INVESTMENT PROFESSIONALS, INC.

CRD# 30184

SAN ANTONIO, TX

05/1999 - 07/1999

**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
Customer Dispute	5

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at <https://www.adviserinfo.sec.gov>



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 5 SROs and is licensed in 10 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **WELLS FARGO CLEARING SERVICES, LLC**

Main Office Address: **ONE NORTH JEFFERSON AVENUE
MAIL CODE: H0004-050
ST. LOUIS, MO 63103**

Firm CRD#: **19616**

SRO	Category	Status	Date
FINRA	General Securities Representative	APPROVED	06/30/2017
NYSE American LLC	General Securities Representative	APPROVED	06/30/2017
Nasdaq PHLX LLC	General Securities Representative	APPROVED	06/30/2017
Nasdaq Stock Market	General Securities Representative	APPROVED	06/30/2017
New York Stock Exchange	General Securities Representative	APPROVED	06/30/2017

U.S. State/ Territory	Category	Status	Date	U.S. State/ Territory	Category	Status	Date
Arkansas	Agent	APPROVED	07/25/2017	Utah	Agent	APPROVED	08/24/2017
California	Agent	APPROVED	07/11/2017				
Colorado	Agent	APPROVED	01/15/2019				
Florida	Agent	APPROVED	07/24/2017				
Kansas	Agent	APPROVED	07/06/2017				
Missouri	Agent	APPROVED	11/16/2018				
Nevada	Agent	APPROVED	09/08/2017				
Oklahoma	Agent	APPROVED	07/05/2017				
Texas	Agent	APPROVED	07/06/2017				



Broker Qualifications

Employment 1 of 1, continued

Branch Office Locations

WELLS FARGO CLEARING SERVICES, LLC

6060 S AMERICAN PLAZA ST E

STE 400

TULSA, OK 74135



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.

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
Securities Industry Essentials Examination	SIE	10/01/2018
Futures Managed Funds Examination	Series 31	11/13/1996
General Securities Representative Examination	Series 7	10/22/1996

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination	Series 65	11/13/1996
Uniform Securities Agent State Law Examination	Series 63	11/13/1996

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/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
02/2001 - 07/2017	BOK FINANCIAL SECURITIES, INC.	17530	BROKEN ARROW, OK
07/1999 - 02/2001	PRIMEVEST FINANCIAL SERVICES, INC.	15340	ST. CLOUD, MN
05/1999 - 07/1999	INVESTMENT PROFESSIONALS, INC.	30184	SAN ANTONIO, TX
10/1996 - 04/1999	DEAN WITTER REYNOLDS INC.	7556	PURCHASE, NY

Employment History

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 Dates	Employer Name	Employer Location
06/2017 - Present	Wells Fargo Clearing Services LLC	Tulsa, OK
02/2001 - 06/2017	BOK Financial Securities, Inc.	TULSA, OK
02/2001 - 06/2017	BOKF, NA	TULSA, OK

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.

RENTAL PROPERTY; INV. RELATED; TULSA, OK; OWNER WITH SPOUSE; START 2014; 2 HRS PER MONTH; 0 HRS DURING TRADING.

RENTAL PROPERTY; INV. RELATED; TULSA, OK; OWNER WITH SPOUSE; START 2015; 2 HRS PER MONTH; 0 HRS DURING TRADING.

RENTAL PROPERTY; INV. RELATED; TULSA, OK; OWNER WITH SPOUSE; START 2012; 2 HRS PER MONTH; 0 HRS DURING TRADING.

RENTAL PROPERTY; INV. RELATED; BROKEN ARROW, OK; OWNER WITH SPOUSE; START 2013; 2 HRS PER MONTH; 0 HRS DURING TRADING.

RENTAL PROPERTY; INV. RELATED; BIXBY, OK; OWNER WITH SPOUSE; START 2012; 2 HRS PER MONTH; 0 HRS DURING TRADING.



Registration and Employment History

Other Business Activities, continued

RENTAL PROPERTY; INV. RELATED; TULSA, OK; OWNER WITH SPOUSE; START 2014; 2 HRS PER MONTH; 0 HRS DURING TRADING.

OKLAHOMA CHRISTIAN UNIVERSITY; INV RELATED; EDMOND, OK; FINANCE ADVISORY COUNCIL; START: 1/31/18; 1 HR/MO; 1 HR DURING TRADING; DUTIES: ATTENDING MEETINGS & LISTENING TO COLLEGE STUDENT RECOMMENDATIONS & PROVIDE FEEDBACK AS IT RELATES TO THEIR INVESTMENT RECOMMENDATION WITHOUT PROVIDING ANY SPECIFIC INVESTMENT ADVICE. FOURPOINTS ENERGY; INV RELATED; DENVER, CO; INHERITED MINERAL RIGHTS; LESS THAN 1% ROYALTIES; START: 5/15/11; 0 HR/MO; 0 DURING TRADING.

RENTAL PROPERTY, INV RELATED, TULSA, OK, 100% OWNERSHIP, START 7/15/2018, 25 HOURS PER MONTH, ZERO DURING TRADING, REMODEL AND RENT HOME.

JOHNSTON HOLDINGS LLC, INV RELATED, TULSA, OK, 100% OWNERSHIP, START 11/08/2017, 25 HOURS PER MONTH, ZERO DURING TRADING, MANAGE RENTAL PROPERTIES.;

RENTAL PROPERTY, INV RELATED, TULSA, OK, 100% OWNERSHIP, START DATE: 7/13/2018, 3 HRS/MONTH, 0 HRS DURING TRADING.;

RENTAL PROPERTY, INV RELATED, BROKEN ARROW, OK, 100% OWNERSHIP, START DATE: 8/6/2018, 3 HRS/MONTH, 0 HRS 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:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o 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.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o 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.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o 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.
 - o 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	4	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 - 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 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: BOSC, INC

Allegations: RECEIVED A LETTER DATED 2/5/12 FROM THE CLIENT STATING THAT AFTER A RECENT MEETING WITH THE REPRESENTATIVE IT WAS DISCOVERED THE PRINCIPAL PLUS FOR LIFE RIDER BOX WAS NOT CHECKED ON A VARIABLE ANNUITY APPLICATION PURCHASED 2/28/07. DISCUSSIONS TOOK PLACE WITH THE CLIENT, BOSC AND THE VARIABLE ANNUITY COMPANY ON HOW TO RESOLVE THIS ISSUE. IT WAS RESOLVED ON 6/29/12 WITH PAYMENT ISSUED TO THE CLIENT.

Product Type: Annuity-Variable

Alleged Damages: \$69,000.00

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: 02/08/2012

Complaint Pending? No



Status:	Settled
Status Date:	06/29/2012
Settlement Amount:	\$29,931.00
Individual Contribution Amount:	\$11,224.13

Disclosure 2 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	BOSC, INC.
Allegations:	CLIENT ALLEGES THAT PRODUCT PURCHASED ON 4-25-2009 WAS UNSUITABLE FOR HIM.
Product Type:	Other: STRUCTURED PRODUCT
Alleged Damages:	\$15,544.00
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:	09/03/2009
Complaint Pending?	No
Status:	Settled
Status Date:	10/08/2009
Settlement Amount:	\$5,000.00
Individual Contribution Amount:	\$5,000.00



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a 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, which was closed without action, withdrawn, or denied.

Disclosure 1 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	BOSC, INC.
Allegations:	TRUSTEE ALLEGES THAT BASED ON HER AGE AT THE TIME OF INVESTMENT, AN EQUITY-LINKED CERTIFICATE OF DEPOSIT PURCHASED ON 4/24/2012 WAS AN INAPPROPRIATE INVESTMENT DUE TO THE SEVEN YEAR TERM.
Product Type:	CD
Alleged Damages:	\$12,214.00
Alleged Damages Amount Explanation (if amount not exact):	NO DAMAGE AMOUNT WAS SPECIFIED. HOWEVER, THE CLIENT REQUESTED A FULL RETURN OF HER PRINCIPAL. BASED ON CURRENT MARKET VALUES, THE "DAMAGE" AMOUNT WOULD BE AROUND \$12,214 AS OF 11/18/2014.
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:	10/30/2014
Complaint Pending?	No
Status:	Denied
Status Date:	11/18/2014
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00
Broker Statement	AN INTERNAL REVIEW SURROUNDING THE ALLEGATIONS SHOWED NO



WRONGDOING BY MR. JOHNSTON. THE OWNER OF THE INVESTMENT IS THE BYPASS TRUST AND NOT THE TRUSTEE. SUITABILITY WAS BASED ON THE OWNER. MULTIPLE CDS WERE SHOWN TO THE TRUSTEE BEFORE SHE DECIDED WHICH PRODUCT TO PURCHASE. THE INVESTMENT APPEARS APPROPRIATE GIVEN THE INVESTMENT OBJECTIVES AND SUITABILITY INFORMATION OF THE BYPASS TRUST - THE OWNER OF THE ASSETS. THE REQUEST FOR A FULL RETURN OF PRINCIPAL WAS DENIED.

Disclosure 2 of 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: BOSCO, INC.

Allegations: CLIENT ALLEGES SHE WAS NOT ADEQUATELY EXPLAINED THE FEATURES OF A SUN AMERICA ANNUITY SHE EXCHANGED INTO FROM A PACIFIC LIFE ANNUITY. ORIGINAL PACIFIC LIFE ANNUITY WAS PURCHASED IN JANUARY OF 2006. THE EXCHANGE INTO THE SUN AMERICA ANNUITY TOOK PLACE IN MAY OF 2013.

Product Type: Annuity-Variable

Alleged Damages: \$26,000.00

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: 08/28/2013

Complaint Pending? No

Status: Closed/No Action

Status Date: 09/13/2013

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLIENT WAS LOOKING TO INCREASE HER MONTHLY INCOME. MR. JOHNSTON REVIEWED DIFFERENT OPTIONS WITH HER IN ORDER TO



MEET THAT OBJECTIVE, INCLUDING MOVING INTO A NEW ANNUITY WITH A HIGHER GUARANTEED INCOME THAN HER EXISTING CONTRACT. CLIENT WAS EXPLAINED THE PROS AND CONS OF THE TRANSACTION AND GIVEN SEVERAL DAYS TO CONSIDER HER OPTIONS PRIOR TO MOVING FORWARD WITH THE EXCHANGE.
BOSC CONDUCTED AN INTERNAL REVIEW OF THE ALLEGATIONS AND FOUND NO WRONGDOING BY MR. JOHNSTON.



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:	BOK Financial Securities, Inc.
Allegations:	Clients allege that Mr. Johnston "deceived" them regarding investment products during the sales process
Product Type:	Debt-Corporate Direct Investment-DPP & LP Interests
Alleged Damages:	\$120,000.00
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:	10/01/2018
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	BOK Financial Securities, Inc
Allegations:	Client allege that Mr. Johnston "deceived" them regarding investment products during the sales process
Product Type:	Debt-Corporate



Direct Investment-DPP & LP Interests

Alleged Damages: \$120,000.00

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: 10/01/2018

Complaint Pending? Yes

Settlement Amount:

**Individual Contribution
Amount:**

End of Report



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