

**Item 1: Cover Page for Part 2B of Form ADV:  
Brochure Supplement  
January 2018**

**David L. Johanson**

**Johanson Financial Advisors, Inc.  
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Campbell, CA 95008  
[www.JohansonFinancial.com](http://www.JohansonFinancial.com)**

**Firm Contact:  
Lynda Tu  
Chief Compliance Officer**

**This brochure supplement provides information about David L. Johanson that supplements our brochure. You should have received a copy of that brochure. Please contact Lynda Tu, Chief Compliance Officer if you did not receive Johanson Financial Advisors, Inc.'s brochure or if you have any questions about the contents of this supplement.**

**Additional information about David L. Johanson is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## Item 2: Educational Background & Business Experience

**David L. Johanson**

**Year of Birth:** 1956

### **Educational Background:**

- 1987; University of San Francisco; Bachelor of Science in Economics

### **Business Background:**

- 01/2016 – Present Montage Tax, P.C; Tax Preparer
- 10/2011 – Present Johanson Financial Advisors, Inc.; Founder and President
- 01/2010 – Present Comprehensive Asset Management & Servicing, Inc.; Registered Representative
- 01/2003 – 10/2011 Wealth Design Private Advisors, Inc.; CEO, Managing Partner & Investment Adviser Representative
- 06/2003 – 12/2009 LPL Financial Inc.; Registered Representative
- 02/1991 – 06/2003 Multi-Financial Services; Registered Representative

### **Exams, Licenses & Other Professional Designations:**

- 1989: Series 7 & 63 Exams
- 1986: Series 6 Exam
- 1991: Series 24 Exam
- 1994: Certified Financial Planner (CFP®)
- 2001: Certified Investment Management Analyst (CIMA)
- 2006: Certified Private Wealth Advisor (CPWA)
- 2014: Enrolled Agent (EA)

### **CFP® - CERTIFIED FINANCIAL PLANNER™:**

CERTIFIED FINANCIAL PLANNER™ (CFP®) certification is obtained by completing an advanced college-level course of study addressing the financial planning subject areas that the CFP board's studies have determined as necessary for the competent and professional delivery of financial planning services, a comprehensive certification exam (administered in 10 hours over a 2 day period) and agreeing to be bound by the CFP board's standard of professional conduct. As a prerequisite the IAR must have a bachelor's degree from a regionally accredited United States college or university (or foreign university equivalent) and have at least 3 years of full time financial planning experience (or equivalent measured at 2,000 hours per year). This designation requires 30 hours of continuing education every 2 years and renewing an agreement to be bound by the standards of professional conduct.

### **CIMA - CERTIFIED INVESTMENT MANAGEMENT ANALYST:**

The CERTIFIED INVESTMENT MANAGEMENT ANALYST, CIMA certification signifies that an individual has met initial and on-going experience, ethical, education, and examination requirements for investment management consulting. Prerequisites for the CIMA certification are three years of financial services experience and an acceptable regulatory history. To obtain the CIMA certification, candidates must pass an online Qualification Examination, successfully complete a one-week classroom education program provided by a Registered Education Provider, pass an online Certification Examination, and have an acceptable regulatory history. CIMA designees are required to adhere to IMCA's *Code of Professional Responsibility, Standards of Practice, and Rules and Guidelines for Use of the Marks*. CIMA designees must report 40 hours of continuing education credits, including two ethics hours, every

two years to maintain the certification. The designation is administered through Investment Management Consultants Association (IMCA).

**CPWA – CERTIFIED PRIVATE WEALTH ADVISOR:**

The CERTIFIED PRIVATE WEALTH ADVISOR, CPWA designation signifies that an individual has met initial and on-going experience, ethical, education, and examination requirements for the professional designation, which is centered on private wealth management topics and strategies for high-net-worth clients. Prerequisites for the CPWA designation are a Bachelor’s degree from an accredited college or university or one of the following designations or licenses: CIMA®, CIMC®, CFA®, CFP®, ChFC®, or CPA license; have an acceptable regulatory history as evidenced by FINRA Form U-4 or other regulatory requirements and five years of professional client-centered experience in financial services or a related industry. CPWA designees have completed a rigorous educational process that includes self-study requirements, an in-class education component, and successful completion of a comprehensive examination. CPWA designees are required to adhere to IMCA’s *Code of Professional Responsibility* and *Rules and Guidelines for Use of the Marks*. CPWA designees must report 40 hours of continuing education credits, including two ethics hours, every two years to maintain the certification. The designation is administered through Investment Management Consultants Association (IMCA).

**Enrolled Agent (EA):**

An ENROLLED AGENT (EA) is a federally authorized tax practitioner empowered by the United States Department of the Treasury to represent taxpayers before the IRS. To become an EA, applicant must pass the Special Enrollment Examination or have worked for the IRS for five years in a position which regularly interpreted and applied the tax code and its regulations. A background check, including a review of the applicant’s tax compliance, is also conducted. The IRS requires EAs to complete 72 hours of continuing professional education every three years.

**Item 3: Disciplinary Information**

There are no legal or disciplinary events material to the evaluation of Mr. Johanson.

**Item 4: Other Business Activities**

Mr. Johanson is a licensed insurance agent. He may offer insurance products and receive normal and customary fees as a result of insurance sales. A conflict of interest may arise as these insurance sales may create an incentive to recommend products based on the compensation he and/or our supervised persons may earn.

Mr. Johanson is a registered representative of APW Capital, Inc., Member FINRA/SIPC. He may offer securities and receive normal and customary commissions as a result of securities transactions. A conflict of interest may arise as these commissionable securities sales may create an incentive to recommend products based on the compensation Mr. Johanson may earn.

Mr. Johanson is also a licensed Enrolled Agent and spends 10% of time on this activity. Tax services provided by Mr. Johanson are separate and distinct from our firm’s advisory services, and are provided for separate and typical compensation. There are no referral fee arrangements between our firm and Mr. Johanson for these recommendations. Our clients are not obligated to use Mr. Johanson for any tax services. Tax clients are not obligated to use our firm for any advisory services.

Mr. Johanson does not receive any other economic benefit for providing advisory services in addition to advisory fees.

### **Item 6: Supervision**

Lynda Tu, Chief Compliance Officer of Johanson Financial Advisors, Inc., supervises and monitors Mr. Johanson's activities on a regular basis to ensure compliance with our firm's Code of Ethics. Please contact Lynda Tu if you have any questions about Mr. Johanson's brochure supplement at (408) 404-0009.