

Summary Order of Prohibition

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5. That FINRA found:

“Respondent violated NASD Rules 2330(a) and 2110 and FINRA Rules 2150(a) and 2010, by misappropriating more than \$1,000,000 from at least six Firm customers’ brokerage accounts. Respondent violated NASD Rule 2110 and FINRA Rule 2010, by falsifying, or causing to be falsified, the signatures of two Firm employees and notarized seals on Firm documents.”

6. That by virtue of the foregoing, the Respondent is subject to a Summary Order of Prohibition pursuant to Section 11.F(7) of the Act.

NOW THEREFORE IT IS HEREBY ORDERED THAT: pursuant to the authority granted by Section 11.F of the Act, Respondent Eric William Johnson is **PROHIBITED** from offering or selling securities in or from this State until the further Order of the Secretary of State.

NOTICE is hereby given that Respondent may request a hearing on this matter by transmitting such request in writing to Tanya Solov, Director, Illinois Securities Department, 69 West Washington Street, Suite 1220, Chicago, Illinois 60602. Such request must be made within thirty (30) calendar days of the date of entry of the Summary Order of Prohibition. Upon receipt of a request for hearing, a hearing will be scheduled as soon as reasonable practicable. A request for hearing will not stop the effectiveness of this Summary Order and will extend the effectiveness of this Summary Order for sixty days from the date the hearing request is received by the Department.

FAILURE BY ANY RESPONDENT TO REQUEST A HEARING WITHIN THIRTY (30) CALENDAR DAYS AFTER ENTRY OF THIS SUMMARY ORDER OF PROHIBITION SHALL CONSTITUTE AN ADMISSION OF ANY FACTS ALLEGED HEREIN AND SHALL CONSTITUTE SUFFICIENT BASIS TO MAKE THIS SUMMARY ORDER OF PROHIBITION FINAL.

Dated: This 31st day of March 2015.



JESSE WHITE
Secretary of State
State of Illinois

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Attorney for the Secretary of State:

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