IAPD Report

LARRY WAYNE JOHNSON

CRD# 1060424

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

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

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

Report Summary

LARRY WAYNE JOHNSON (CRD# 1060424)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **03/26/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AUSDAL FINANCIAL PARTNERS, INC.	CRD# 7995	02/17/2015
IA	AUSDAL FINANCIAL PARTNERS, INC.	CRD# 7995	08/01/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	STERLING FINANCIAL ADVISORY SERVICES, INC.	123552	ITASCA, IL	04/12/1998 - 01/12/2021
B	LPL FINANCIAL LLC	6413	ITASCA, IL	09/08/2009 - 02/20/2015
IA	LPL FINANCIAL LLC	6413	ITASCA, IL	09/08/2009 - 02/20/2015

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

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

The following types of events are disclosed about this representative:

Type	Count
Termination	1

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **11** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **AUSDAL FINANCIAL PARTNERS, INC.**

Main Address: 5187 UTICA RIDGE RD
DAVENPORT, IA 52807

Firm ID#: 7995

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	02/17/2015
B	FINRA	Invest. Co and Variable Contracts	Approved	02/17/2015
B	Alaska	Agent	Approved	05/01/2023
B	Arkansas	Agent	Approved	05/09/2023
B	California	Agent	Approved	01/08/2026
B	Colorado	Agent	Approved	04/14/2025
B	Florida	Agent	Approved	06/09/2015
IA	Florida	Investment Adviser Representative	Approved	01/08/2020
B	Illinois	Agent	Approved	02/17/2015
IA	Illinois	Investment Adviser Representative	Approved	08/01/2019
B	Indiana	Agent	Approved	02/17/2015
B	Michigan	Agent	Approved	12/21/2015
B	North Carolina	Agent	Approved	01/16/2026

Qualifications

	Regulator	Registration	Status	Date
B	Ohio	Agent	Approved	04/13/2015
B	Wisconsin	Agent	Approved	04/14/2025

Branch Office Locations

AUSDAL FINANCIAL PARTNERS, INC.
ST. CHARLES, IL

AUSDAL FINANCIAL PARTNERS, INC.
NAPLES, FL

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	03/15/1991

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	12/17/1983
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/29/1982

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/08/1983

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	04/12/1998 - 01/12/2021	STERLING FINANCIAL ADVISORY SERVICES, INC.	CRD# 123552	ITASCA, IL
B	09/08/2009 - 02/20/2015	LPL FINANCIAL LLC	CRD# 6413	ITASCA, IL
IA	09/08/2009 - 02/20/2015	LPL FINANCIAL LLC	CRD# 6413	ITASCA, IL
IA	01/02/2004 - 09/08/2009	WATERSTONE FINANCIAL GROUP, INC.	CRD# 10078	ITASCA, IL
B	05/13/1985 - 09/08/2009	WATERSTONE FINANCIAL GROUP, INC.	CRD# 10078	ITASCA, IL
IA	02/26/1998 - 12/31/2008	HERITAGE CAPITAL MANAGEMENT INC	CRD# 110383	ITASCA, IL
IA	02/24/1998 - 12/31/2003	STERLING PORTFOLIO ALLOCATION SERVICE INC	CRD# 110796	ITASCA, IL
B	11/30/1982 - 04/30/1986	AMERICAN CAPITAL FINANCIAL SERVICES, INC.	CRD# 146	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2015 - Present	AUSDAL FINANCIAL PARTNERS	REGISTERED REPRESENTATIVE	Y	DAVENPORT, IA, United States
02/2012 - 12/2020	STERLING FINANCIAL ADVISORY SERVICES, INC.	INVESTMENT ADVISOR	Y	ITASCA, IL, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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.PALLET RECYCLING BUSINESSES, Belvidere, IL. THESE ARE FOR PROFIT BUSINESS OPERATIONS. BUSINESS NAMES ARE CRAWFORD COUNTY PALLETS; INDUSTRIAL WOOD PRODUCTS; M & M PALTECH AND PALTECH ENTERPRISES, INC. Owner since 3/29/2010; APPX -1-2 HOURS PER MONTH ARE SPENT ON THESE OPERATIONS. NONE DURING TRADING HOURS. This is not an investment related activity. Compensation is monthly salary/stipend provided--generally no additional profits to share in.

Registration & Employment History

OTHER BUSINESS ACTIVITIES

2. ARGENT CONSULTING; TAX PURPOSES ONLY; RECEIVES 1099 COMMISSIONS SO THAT A W2 IS PRODUCED AT YEAR END. NO TIME IS SPENT. USED FOR ADMINISTRATIVE PURPOSES.

3. LAKADA FARM ALPACAS, St. Charles, IL. Owner since 2/2012. This is a farm business raising alpacas. This business is pretty much inactive at this point and there are no revenues. Less than 5 hours a month are devoted to this activity of which none are during trading hours. This is not an investment related activity.

4. ICL LEASING, LLC, Naples, FL - Owner of a company that owns fitness equipment that leases to fitness companies. These are leased only to the companies that are owned by the Registered Rep. Began in March 2012. 1 HOUR PER MONTH IS SPENT ON THIS ACTIVITY of which none during trading hours. COMPENSATION IS PROFIT FROM OPERATION.

5.BE FIT MGMT CORP, Ottawa, IL. OWNER OF ANYTIME FITNESS CLUB IN OTTAWA, IL; BEGAN 04/2014; Owner of Anytime Fitness-no extensive duties in running the day to day business. DEVOTE LESS THAN 5 HOURS PER MONTH none during trading hours; NON INVESTMENT RELATED;COMPENSATION IS PROFIT ONLY.

6. 1035 FITNESS; OWNER OF ANYTIME FITNESS CLUB IN PERU, IL; BEGAN 03/2012; DEVOTE LESS THAN 5 HOURS PER MONTH, none during trading hours; NON INVESTMENT RELATED; COMPENSATION IS PROFIT ONLY

7. DREW FITNESS (DBA: ANYTIME FITNESS); SANDWICH, IL; NON-INVESTMENT RELATED; FITNESS CLUB; PARTIAL OWNER; ACTIVITY BEGAN 12/2016; I DEVOTE APPX 4 HOURS TO THIS BUSINESS WITH NONE DURING TRADING HOURS; COMPENSATION IS IN THE FORM OF PROFIT.
8. LARRY W JOHNSON; INVESTMENT RELATED; NAPLES, FL; SALE OF VARIOUS INSURANCE PRODUCTS; AGENT; ACTIVITY BEGAN 04/1983; I DEVOTE APPX 1 HOUR PER MONTH TO THIS ACTIVITY ALL DURING TRADING HOURS; PROVIDE INSURANCE TO CLIENTS AS NEEDED.

9. STERLING FINANCIAL ADVISORY SERVICES, INC; INVESTMENT RELATED; ST CHARLES, IL; CORPORATION; OWNER/PRESIDENT; ACTIVITY BEGAN 07/1986; I DEVOTE 4 HOURS TO THIS BUSINESS ALL DURING TRADING HOURS; MAINTAIN GOOD STANDING OF THE CORPORATION.

10. KLUTCH SPIRITS; NON-INVESTMENT RELATED; ESTERO, FL; HAND CRAFTED VODKA; SHAREHOLDER; ACTIVITY BEGAN MAY 2022; I DEVOTE APPX. 10 HOURS TO THIS ACTIVITY PER MONTH WITH 5 OF THOSE HOURS DURING TRADING HOURS; DISTRIBUTION AND ALLOCATION OF HANDCRAFTED VODKA.

13. 3425 E DREW, LLC; NOT INVESTMENT RELATED; NAPLES, FL; REAL ESTATE RENTAL; MANAGING MEMBER; ACTIVITY BEGAN IN 12/2024; I DEVOTE ONE HOUR PER MONTH WITH NO TIME DURING TRADING HOURS; LANDLORD OBLIGATIONS, LEASE NEGOTIATIONS AND MAINTENANCE OF PROPERTY.
14. LARRY JOHNSON; NOT INVESTMENT RELATED; BROWNSBURG, IN; REAL ESTATE INVESTMENT; OWNER; ACTIVITY BEGAN 10/2025; I DEVOTE ONE HOUR TO THIS ACTIVITY DURING TRADING HOURS; OWNER OF REAL ESTATE.

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Termination	1

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	LPL FINANCIAL LLC
Termination Type:	Discharged
Termination Date:	01/30/2015
Allegations:	PARTICIPATION IN TWO PRIVATE SECURITIES TRANSACTIONS WITHOUT FIRM APPROVAL AND VIOLATION OF THE FIRM'S POLICY REGARDING OUTSIDE BUSINESS ACTIVITIES.
Product Type:	Other: PRIVATE SECURITY TRANSACTION

Reporting Source:	Individual
Firm Name:	LPL
Termination Type:	Discharged
Termination Date:	01/30/2015
Allegations:	I VIOLATED FIRM POLICY BY MAKING AN INVESTMENT IN A PRIVATE SECURITY WITH MY PERSONAL FUNDS AND DID NOT DISCLOSE IT TO MY BROKER DEALER.
Product Type:	Other: PRIVATE SECURITY
Broker Statement	WHEN WE REALIZED THE OVERSIGHT OF NOT DISCLOSING IN MY OFFICE WE PROVIDED FULL DISCLOSURE TO THE BROKER-DEALER BEFORE THE FOLLOW UP AUDIT. NO CLIENT FUNDS WERE INVOLVED IN THE INVESTMENT AND NO CLIENTS WERE INVOLVED.

End of Report

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