User Guidance

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IAPD Report

Jon Keith Stucker

CRD# 1094241

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.

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

Jon Keith Stucker (CRD# 1094241)

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 **04/14/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	THURSTON, SPRINGER, MILLER, HERD & TITAK, INC.	CRD# 8478	06/01/2016
IA	THURSTON SPRINGER ADVISORS	CRD# 299201	08/26/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **21** 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	THURSTON SPRINGER FINANCIAL	8478	INDIANAPOLIS, IN	06/09/2016 - 07/06/2021
B	WADDELL & REED	866	INDIANAPOLIS, IN	05/02/2016 - 06/24/2016
IA	WADDELL & REED	866	INDIANAPOLIS, IN	05/02/2016 - 06/24/2016

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
Customer Dispute	4
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 **21** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **THURSTON SPRINGER ADVISORS**

Main Address: 9000 KEYSTONE CROSSING
SEVENTH FLOOR
INDIANAPOLIS, IN 46240

Firm ID#: 299201

	Regulator	Registration	Status	Date
IA	Indiana	Investment Adviser Representative	Approved	08/26/2020

Branch Office Locations

THURSTON SPRINGER ADVISORS
9000 KEYSTONE CROSSING
SEVENTH FLOOR
INDIANAPOLIS, IN 46240

Employment 2 of 2

Firm Name: **THURSTON, SPRINGER, MILLER, HERD & TITAK, INC.**

Main Address: 9000 KEYSTONE CROSSING
SUITE 700
INDIANAPOLIS, IN 46240-2142

Firm ID#: 8478

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	06/01/2016
B	FINRA	General Securities Sales Supervisor	Approved	06/01/2016
B	Alabama	Agent	Approved	11/02/2017
B	Arizona	Agent	Approved	06/01/2016
B	Arkansas	Agent	Approved	06/01/2016

Qualifications

	Regulator	Registration	Status	Date
B	California	Agent	Approved	06/01/2016
B	Colorado	Agent	Approved	07/11/2016
B	Florida	Agent	Approved	08/18/2016
B	Illinois	Agent	Approved	06/02/2016
B	Indiana	Agent	Approved	06/09/2016
B	Kentucky	Agent	Approved	11/19/2018
B	Maryland	Agent	Approved	06/09/2016
B	Michigan	Agent	Approved	06/01/2016
B	Missouri	Agent	Approved	07/11/2016
B	New Jersey	Agent	Approved	06/01/2016
B	New York	Agent	Approved	06/01/2016
B	North Carolina	Agent	Approved	06/09/2016
B	Ohio	Agent	Approved	06/01/2016
B	Pennsylvania	Agent	Approved	03/15/2017
B	Tennessee	Agent	Approved	06/01/2016
B	Texas	Agent	Approved	06/01/2016
B	Virginia	Agent	Approved	03/14/2017
B	Wisconsin	Agent	Approved	06/01/2016

Branch Office Locations

Qualifications

THURSTON SPRINGER FINANCIAL
9000 KEYSTONE CROSSING
SUITE 700
INDIANAPOLIS, IN 46240

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 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	05/19/2008
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	05/16/2008

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	08/24/2009
B	Interest Rate Options Examination (S5)	Series 5	05/25/1983
B	General Securities Representative Examination (S7)	Series 7	03/19/1983

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/15/1994
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/05/1983

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

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	06/09/2016 - 07/06/2021	THURSTON SPRINGER FINANCIAL	CRD# 8478	INDIANAPOLIS, IN
B	05/02/2016 - 06/24/2016	WADDELL & REED	CRD# 866	INDIANAPOLIS, IN
IA	05/02/2016 - 06/24/2016	WADDELL & REED	CRD# 866	INDIANAPOLIS, IN
IA	12/08/2004 - 05/18/2016	RBC CAPITAL MARKETS, LLC	CRD# 31194	INDIANAPOLIS, IN
B	12/03/2004 - 05/18/2016	RBC CAPITAL MARKETS, LLC	CRD# 31194	INDIANAPOLIS, IN
B	06/17/2002 - 11/24/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO
IA	06/17/2002 - 11/24/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	INDIANAPOLIS, IN
IA	01/20/1999 - 07/11/2002	MCDONALD INVESTMENTS INC.	CRD# 566	INDPLS, IN
B	02/14/1997 - 07/11/2002	MCDONALD INVESTMENTS INC.	CRD# 566	CLEVELAND, OH
B	07/31/1993 - 02/21/1997	SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	05/14/1988 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	10/24/1984 - 05/14/1988	E. F. HUTTON & COMPANY INC	CRD# 235	
B	03/22/1983 - 10/24/1984	THOMSON MCKINNON SECURITIES INC.	CRD# 829	

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
06/2016 - Present	Thurston Springer Miller Herd & Titak, Inc.	Registered Representative/Investment Advisory Representative	Y	Indianapolis, IN, United States
07/2009 - Present	Civic Theatre	Finance Committee Member	N	Carmel, IN, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2007 - Present	Vinculum	Board Member	N	San Diego, CA, United States
09/1985 - Present	Delta Alpha of Alpha Tau Omega	Treasurer	N	Bloomington, IN, 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) 09/1985-Present, Delta Alpha of Alpha Tau Omega, Bloomington, IN, Non-Profit Housing Board, Not invest-related, Director-receiving compensation, assist in the property management of the ATO fraternity at Indiana University, 5 hrs/mo, 1 hrs/week during sec trading; (2)12/2007-Present, Vinculum, San Diego, CA, VOIP Wholesale Long Distance Carrier, Not invest-related, Board Member, 2 hrs/mo, 0 hrs during sec trading; (3)07/2009-Present, Civic Theatre, Carmel, IN, Non-profit, Not invest-related, Finance Committee Member, 2 hrs/mo, 2 hrs/mo during sec trading (4)DBA JKS Investment Group for name recognition.(5)1-25-17 - Present,Parkahead, LLC, Member, Manager, Chief Financial Officer, 4525 E. 82nd St., Indianapolis, IN 46250, non-investment related, mobile event parking app., 5-10 hours per week, mostly during non-business hours. FK Restuarant Group LLC, Owner, CFO, 1-2 hours, per week, not during market hours. Pier 48 Indy, LLC, Owner and CFO, All responsibilities associated with the business, including restaurant operations, banking, credit cards, borrowing, purchasing, payroll, taxes, etc. 5 hours per week during market hours, 25 hours total per month. Strategic Advisor to BubbleUp and ElectraCast; Collaborating on podcasts and short film, performed remotely, 10 hours per month, 4 during market hours. JKS Investment LLC, personal assets holding company. No hours per week or month.

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.

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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
Customer Dispute	4
Termination	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Thurston Springer Advisors
Allegations:	Complaint Received on 1/30/2026 regarding mismanagement of funds being managed according to investment objective.
Product Type:	Equity-OTC Equity Listed (Common & Preferred Stock)
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	The written complaint did not include any monetary damages.
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:	01/30/2026
Complaint Pending?	No
Status:	Denied

Status Date: 03/16/2026

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: RBC CAPITAL MARKETS, LLC

Allegations: CLIENT COMPLAINS THAT HIS ACCOUNT IS UNDERPERFORMING DUE TO THE STRATEGY IMPLEMENTED BY HIS FINANCIAL ADVISOR. HE ALSO BELIEVES THAT HIS INVESTMENT INSTRUCTIONS HAVE BEEN NEGLECTED.

Product Type: Other: EXCHANGE TRADED FUNDS

Alleged Damages: $55,000.00

Alleged Damages Amount Explanation (if amount not exact): THE CLIENT CITES LOSSES, BUT DOES NOT REQUEST ANY REIMBURSEMENT.

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: 08/16/2012

Complaint Pending? No

Status: Denied

Status Date: 03/15/2013

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: RBC CAPITAL MARKETS CORPORATION

Allegations: IN A SUPPLEMENTAL WRITTEN COMPLAINT, THE CLIENT COMPLAINS THAT MR. STUCKER MISREPRESENTED AN EQUITY SECURITY FOR A BOND INVESTMENT AND THAT HIS ACCOUNT WAS OVER WEIGHTED IN THAT SECURITY. SPECIFIC DAMAGES ARE NOT SPECIFIED, HOWEVER, BELIEVED TO BE IN EXCESS OF $5,000.00. IN AN INITIAL ORAL COMPLAINT, THE CLIENT CLAIMS MR. STUCKER REINVESTED HIS DISCRETIONARY ACCOUNT ON 03/11/2008 AFTER THE CLIENT ORDERED THAT THE FREE CREDIT FROM A 03/10/2008 LIQUIDATION STAY OUT OF THE MARKET. THE CLIENT ALSO ORALLY ALLEGES THAT MR. STUCKER ONLY LIQUIDATED

	ONE OF SEVERAL ACCOUNTS ON 03/18/2008 AS ORDERED.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	04/01/2008
Complaint Pending?	No
Status:	Denied
Status Date:	09/29/2008
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 4 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MCDONALD INVESTMENTS INC.
Allegations:	CLIENT ALLEGES MISREPRESENTATION, FRAUDS, MISMANAGEMENT, NEGLIGENCE WHICH RESULTED IN LOSS OF MONIES.
Product Type:	Equity - OTC
Alleged Damages:	$267,000.00

Customer Complaint Information

Date Complaint Received:	08/26/2002
Complaint Pending?	No
Status:	Denied
Status Date:	08/26/2002
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASDR 02-04795
Date Notice/Process Served:	08/26/2002
Arbitration Pending?	No
Disposition:	Denied
Disposition Date:	12/23/2003

Reporting Source:	Individual

Employing firm when activities occurred which led to the complaint:	MCDONALD INVESTMENTS INC.
Allegations:	CLIENT ALLEGES MISREPRESENTATION, FRAUDS, MISMANAGEMENT, NEGLIGENCE WHICH RESULTED IN LOSS OF MONIES.
Product Type:	Equity - OTC
Alleged Damages:	$267,000.00

Customer Complaint Information

Date Complaint Received:	08/26/2002
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	08/26/2002
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASDR 02-04795
Date Notice/Process Served:	08/26/2002
Arbitration Pending?	No
Disposition:	Denied
Disposition Date:	12/23/2003
Broker Statement	FRED JOHNSON IS A FINANCIAL PLANNER AND BROKER DEALER, A SOPHISTICATED INVESTOR. HE DIRECTED HIS FUNDS TO BE MANAGED IN EQUITIES AND THEY PERFORMED ACCORDING TO HIS WRITTEN OBJECTIVES AND IN LINE WITH THE OVERALL MARKET. HIS ALLEGATIONS ARE COMPLETELY BASELESS.

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:	RBC Capital Markets LLC
Termination Type:	Discharged
Termination Date:	04/18/2016
Allegations:	Violation of firm policy regarding speaking engagements. Broker presented at "Favorite Stock Picks" speaking engagement after being instructed not to by the Firm, displayed unapproved electronic materials, and made investment recommendations during his presentation.
Product Type:	Equity Listed (Common & Preferred Stock) Other: ETFs

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Reporting Source:	Individual
Firm Name:	RBC Capital Markets LLC
Termination Type:	Discharged
Termination Date:	04/18/2016
Allegations:	Violation of firm policy regarding speaking engagements. Broker presented at "Favorite Stock Picks" speaking engagement after being instructed not to by the Firm, displayed unapproved electronic materials, and made investment recommendations during his presentation.
Product Type:	Equity Listed (Common & Preferred Stock)
Broker Statement	I have been approved to be a presenter at the BetterInvesting annual educational event for over 20 consecutive years. This year the group did not confirm the timing of the event to me until the day before. I then submitted the necessary approval forms for the presentation materials to compliance who responded they could not approve them in a time frame less than 48 hours. Therefore, I attended as a long-time friend only, did not take any materials with me and clearly told the group up front I was speaking with them as a friend only and not in any way as a representative of RBC. The stocks discussed were part of a stock picking contest, they were not recommendations, and I stated as such. The group's laptop and projector were used to access public websites (i.e.,Yahoo Finance). There were no presentation materials.

End of Report

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