



## IAPD Report

# THUONG XUAN CAO NGUYEN

CRD# 4461020

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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

### THUONG XUAN CAO NGUYEN (CRD# 4461020)

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 **04/26/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	TRANSAMERICA FINANCIAL ADVISORS, LLC	CRD# 16164	07/01/2015
<b>IA</b>	TRANSAMERICA FINANCIAL ADVISORS, LLC	CRD# 16164	03/21/2017

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and 1 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
<b>B</b>	WORLD GROUP SECURITIES, INC.	114473	DULUTH, GA	04/12/2002 - 10/16/2006
<b>B</b>	WMA SECURITIES, INC.	32625	DULUTH, GA	12/21/2001 - 04/12/2002

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?

**No**



## 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 1 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **TRANSAMERICA FINANCIAL ADVISORS, LLC**  
Main Address: TWO LIBERTY PLACE  
50 SOUTH 16TH STREET, SUITE 3700  
PHILADELPHIA, PA 19102  
Firm ID#: 16164

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	Invest. Co and Variable Contracts	Approved	07/01/2015
<b>B</b>	Texas	Agent	Approved	07/16/2015
<b>IA</b>	Texas	Investment Adviser Representative	Approved	03/21/2017

### Branch Office Locations

**TRANSAMERICA FINANCIAL ADVISORS, LLC**  
550 POST OAK BLVD  
SUITE 390  
HOUSTON, TX 77027



## 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 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/01/2015

#### State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	02/28/2017
Uniform Securities Agent State Law Examination (S63)	Series 63	07/16/2015

### PROFESSIONAL DESIGNATIONS

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

No information reported.



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	04/12/2002 - 10/16/2006	WORLD GROUP SECURITIES, INC.	CRD# 114473	DULUTH, GA
B	12/21/2001 - 04/12/2002	WMA SECURITIES, INC.	CRD# 32625	DULUTH, GA

### 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
06/2021 - Present	LSPN Pro, LLC	Independent Rep	N	Lindon, UT, United States
06/2015 - Present	TRANSAMERICA FINANCIAL ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	HOUSTON, TX, United States
11/2014 - Present	BLUE CROSS AND BLUE SHIELD OF TEXAS	AGENT	N	Richardson, TX, United States
02/2014 - Present	HEALTH INSURANCE	AGENT	N	ROUND ROCK, TX, United States
07/2004 - Present	ADVANCE TECHNICAL RESOURCES	BUILD COMPUTERS	N	AUSTIN, TX, United States
06/2001 - Present	WFGIA	AGENT	Y	HOUSTON, TX, 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.

Sales of insurance and non-insurance products, part-time or full-time, for companies affiliated with Transamerica Financial Advisors, Inc.

LSPN Pro, LLC / 0621-Present / Investment Related: No /100 N. State Street, Ste B, Lindon, UT 84042 / Independent Rep / Estate Planning Services / Hrs. Work Monthly: 5 / Sec Trading Hrs.: 1 / Client communications, Marketing, and referring potential clients Sales of insurance products, part-time or full-time, for companies affiliated with Transamerica Financial Advisors, Inc.

BLUE CROSS AND BLUE SHIELD OF TEXAS/INVESTMENT RELATED-NO/1001 E. LOOKOUT DRIVE, RICHARDSON, TX 75082/11-1-2014/80/4/ENROLL CLIENTS IN HEALTH PLANS DURING ENROLLMENT PERIOD.

HEALTH INSURANCE/NO/3726 GEESE ROUTE, ROUND ROCK, TX 78665/HEALTH INSURANCE, MEDICARE INSURANCE, DENTAL INSURANCE/AGENT/02.26.2014/80/2/EDUCATE CLIENTS ABOUT HEALTH INSURANCE AND ENROLL CLIENT IN HEALTH, DENTAL, MEDICARE INSURANCE PLANS.



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

ADVANCE TECHNICAL RESOURCES/no/Austin, TX/build computers/7/2004



## End of Report

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