



## IAPD Report

### John Nelson Duncan

CRD# 7194062

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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

### John Nelson Duncan (CRD# 7194062)

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 **08/18/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	LPL ENTERPRISE, LLC	CRD# 8733	08/18/2025
<b>IA</b>	LPL ENTERPRISE, LLC	CRD# 8733	08/18/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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>IA</b>	LARSON FINANCIAL GROUP, LLC	140599	Indianapolis, IN	05/09/2025 - 07/24/2025
<b>B</b>	LARSON FINANCIAL SECURITIES, LLC	152517	Indianapolis, IN	05/09/2025 - 07/24/2025
<b>IA</b>	TRANSAMERICA RETIREMENT ADVISORS, LLC	107319	Indianapolis, IN	07/24/2024 - 05/05/2025

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

#### Employment 1 of 1

Firm Name: **LPL ENTERPRISE, LLC**

Main Address: 1055 LPL WAY  
FORT MILL, SC 29715

Firm ID#: 8733

Regulator	Registration	Status	Date
 FINRA	General Securities Representative	Approved	08/18/2025
 Indiana	Agent	Approved	08/18/2025
 Indiana	Investment Adviser Representative	Approved	08/18/2025
 North Carolina	Agent	Approved	08/18/2025
 Pennsylvania	Agent	Approved	08/18/2025

#### Branch Office Locations

**LPL ENTERPRISE, LLC**  
8888 KEYSTONE CROSSING  
SUITE 500  
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 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

#### General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination (S7TO)	Series 7TO	02/05/2020
B Securities Industry Essentials Examination (SIE)	SIE	11/26/2019

#### State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	12/03/2020

### 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
IA	05/09/2025 - 07/24/2025	LARSON FINANCIAL GROUP, LLC	CRD# 140599	Indianapolis, IN
B	05/09/2025 - 07/24/2025	LARSON FINANCIAL SECURITIES, LLC	CRD# 152517	Indianapolis, IN
IA	07/24/2024 - 05/05/2025	TRANSAMERICA RETIREMENT ADVISORS, LLC	CRD# 107319	Indianapolis, IN
B	07/10/2024 - 05/05/2025	TRANSAMERICA INVESTORS SECURITIES, LLC	CRD# 32205	HARRISON, NY
IA	04/26/2024 - 06/03/2024	FIRST COMMAND ADVISORY SERVICES	CRD# 281958	Tucson, AZ
B	04/22/2024 - 06/03/2024	FIRST COMMAND BROKERAGE SERVICES, INC.	CRD# 3641	TUCSON, AZ
IA	08/04/2022 - 02/29/2024	FIDELITY PERSONAL AND WORKPLACE ADVISORS	CRD# 288590	TUCSON, AZ
B	07/27/2022 - 02/29/2024	FIDELITY BROKERAGE SERVICES LLC	CRD# 7784	TUCSON, AZ
IA	12/04/2020 - 07/09/2022	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	TUCSON, AZ
B	02/05/2020 - 07/09/2022	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	TUCSON, AZ

### 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
08/2025 - Present	LPL Enterprise LLC	Registered Representative	Y	Indianapolis, IN, United States
05/2025 - 07/2025	Larson Financial Group	Financial Planner	Y	Indianapolis, IN, United States
07/2024 - 05/2025	Transamerica Investors Securities Corporation	Registered Rep	Y	Sahuarita, AZ, United States
07/2024 - 05/2025	Transamerica Life Insurance Company	Retirement Plan Specialist	Y	Sahuarita, AZ, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2024 - 06/2024	First Command Advisory Services , Inc	Investment Advisor Rep	Y	Fort Worth, TX, United States
04/2024 - 06/2024	First Command Brokerage Services, Inc	Registered Rep	Y	Fort Worth, TX, United States
04/2024 - 06/2024	First Command Insurance Services , Inc	Insurance Agent	Y	Fort Worth, TX, United States
07/2022 - 02/2024	Fidelity Investments	Planning Consultant	Y	Tucson, AZ, United States
12/2020 - 07/2022	BANK OF AMERICA, N.A	Financial Advisor Trainee - FADP	Y	Tucson, AZ, United States
10/2019 - 07/2022	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	Financial Advisor Trainee - FADP	Y	Leawood, KS, United States
04/2017 - 10/2019	Lathrop Gage, LLP	Conflicts Analyst	N	Kansas City, ME, United States
01/2018 - 08/2019	Arizona State University	Student	N	Tempe, AZ, United States
01/2015 - 04/2017	GardaWorld Federal Services	Senior Guard	N	McLean, VA, United States
11/2014 - 08/2016	American Military University	Student	N	Charles Town, WV, 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) 08/05/2025 - Prudential Advisors DBA for LPL Business (entity for LPL business) - Financial Professional - 160 hrs/mth - Indianapolis, IN - Investment Related - Start date 08/05/2025
- 2) 08/05/2025 - John Duncan N/A Non-Variable Insurance - Non-Variable Insurance/Insurance Agency - Financial Professional - 160 hrs/mth - Indianapolis, IN - Investment Related - Start date 08/05/2025



## **End of Report**

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