



## IAPD Report

# JOHN MONROE BARRY II

CRD# 2260404

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**i** Please be aware that fraudsters may link to Investment Adviser Public Disclosure from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.  
For more information read our [investor alert](#) on imposters.



## 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 MONROE BARRY II (CRD# 2260404)

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 **07/05/2023**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	LPL FINANCIAL LLC	CRD# 6413	11/29/2017
<b>IA</b>	LPL FINANCIAL LLC	CRD# 6413	11/29/2017

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** 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>	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	29604	TORRANCE, CA	01/04/2007 - 12/01/2017
<b>B</b>	NATIONAL PLANNING CORPORATION	29604	TORRANCE, CA	01/03/2007 - 11/29/2017
<b>B</b>	USI SECURITIES, INC.	43793	TORRANCE, CA	07/01/2004 - 01/03/2007

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

### Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**  
Main Address: 1055 LPL WAY  
FORT MILL, SC 29715  
Firm ID#: 6413

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Principal	Approved	11/29/2017
<b>B</b>	FINRA	General Securities Representative	Approved	11/29/2017
<b>B</b>	Arizona	Agent	Approved	11/29/2017
<b>B</b>	California	Agent	Approved	11/29/2017
<b>IA</b>	California	Investment Adviser Representative	Approved	11/29/2017
<b>B</b>	Colorado	Agent	Approved	04/18/2022
<b>B</b>	Delaware	Agent	Approved	11/29/2017
<b>B</b>	Florida	Agent	Approved	11/29/2017
<b>B</b>	Hawaii	Agent	Approved	11/29/2017
<b>B</b>	Illinois	Agent	Approved	11/29/2017
<b>B</b>	Kansas	Agent	Approved	11/29/2017
<b>B</b>	Massachusetts	Agent	Approved	09/25/2018
<b>B</b>	Nevada	Agent	Approved	11/29/2017



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> New York	Agent	Approved	11/29/2017
<b>B</b> North Carolina	Agent	Approved	11/29/2017
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	07/06/2023
<b>B</b> Utah	Agent	Approved	10/20/2020
<b>B</b> Virginia	Agent	Approved	11/29/2017

### Branch Office Locations

**LPL FINANCIAL LLC**  
25500 HAWTHORNE BLVD STE 2100  
TORRANCE, CA 90505



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

#### Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	05/21/1997

#### General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	07/23/1993

#### State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	07/20/2004
Uniform Securities Agent State Law Examination (S63)	Series 63	10/15/1993

### 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	01/04/2007 - 12/01/2017	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	CRD# 29604	TORRANCE, CA
B	01/03/2007 - 11/29/2017	NATIONAL PLANNING CORPORATION	CRD# 29604	TORRANCE, CA
B	07/01/2004 - 01/03/2007	USI SECURITIES, INC.	CRD# 43793	TORRANCE, CA
IA	07/01/2004 - 01/03/2007	USI SECURITIES, INC.	CRD# 43793	TORRANCE, CA
IA	07/08/1997 - 04/06/2005	ASSOCIATED PLANNERS INVESTMENT ADVISORY INC	CRD# 104790	TORRANCE, CA
B	08/17/1993 - 04/06/2005	ASSOCIATED SECURITIES CORP.	CRD# 12969	BOSTON, MA
B	07/26/1993 - 08/18/1993	BROADCORT CAPITAL CORP.	CRD# 13456	NEW YORK, NY

### 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
11/2017 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	TORRANCE, CA, United States
01/2007 - 11/2017	NATIONAL PLANNING CORPORATION	REGISTERED REPRESENTATIVE	Y	TORRANCE, CA, 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.

- 11/29/2017 - ASH BROKERAGE - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - INSURANCE AGENT(Life Insurance.) - 10 hours per month during securities trading.
- 01/17/2018 - JMB Wealth Management, Inc. - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date 01/02/2007 - 160 Hours Per Month/0 Hours During Securities Trading.



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

3. 7/30/2021 - LBJs Music LLC, DBA "Rec Hall" - Not Investment Related - Home Based - Other-Manager for Son's Rock n Roll Band - Started 12/01/2017 - 5 Hours Per Month/0 Hours During Securities Trading - Help organize and do odd jobs for the band. The band has a contract with a professional manager and producer.





## End of Report

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