

## BrokerCheck Report

**Mark Duran**

CRD# 4307804

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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.

## About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

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

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at [brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit [www.finra.org](http://www.finra.org).



## Mark Duran

CRD# 4307804

### Currently employed by and registered with the following Firm(s):

**IA WORLD INVESTMENT ADVISORS, LLC**  
 St. Petersburg, FL  
 CRD# 208512  
 Registered with this firm since: 09/01/2016

**B WORLD INVESTMENTS, LLC**  
 24 East Cota Street  
 Suite 200  
 Santa Barbara, CA 93101  
 CRD# 20626  
 Registered with this firm since: 10/31/2025

## Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

### Broker Qualifications

#### This broker is registered with:

- 1 Self-Regulatory Organization
- 2 U.S. states and territories

#### This broker has passed:

- 2 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 1 State Securities Law Exam

### Registration History

#### This broker was previously registered with the following securities firm(s):

- B PENSIONMARK SECURITIES, LLC**  
 CRD# 283952  
 Tampa, FL  
 09/2017 - 10/2025
- B CAPFINANCIAL SECURITIES, LLC.**  
 CRD# 126291  
 RALEIGH, NC  
 09/2016 - 09/2017
- B LPL FINANCIAL LLC**  
 CRD# 6413  
 TAMPA, FL  
 04/2012 - 08/2016

### Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



## Broker Qualifications

### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

**This individual is currently registered with 1 SRO and is licensed in 2 U.S. states and territories through his or her employer.**

### Employment 1 of 2

Firm Name: **WORLD INVESTMENT ADVISORS, LLC**

Main Office Address: **24 E. COTA STREET  
SUITE 200  
SANTA BARBARA, CA 93101**

Firm CRD#: **208512**

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	09/01/2016
IA	Florida	Investment Adviser Representative	Approved	09/19/2016

### Branch Office Locations

24 E. COTA STREET  
SUITE 200  
SANTA BARBARA, CA 93101

St. Petersburg, FL

### Employment 2 of 2

Firm Name: **WORLD INVESTMENTS, LLC**

Main Office Address: **437 NEWMAN SPRINGS ROAD  
LINCROFT, NJ 07738**

Firm CRD#: **20626**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	10/31/2025



Broker Qualifications

Employment 2 of 2, continued

SRO	Category	Status	Date
<div>B</div> FINRA	General Securities Representative	Approved	10/31/2025
<div>B</div> FINRA	Municipal Fund	Approved	10/31/2025

U.S. State/ Territory	Category	Status	Date
<div>B</div> California	Agent	Approved	10/31/2025
<div>B</div> Florida	Agent	Approved	10/31/2025

Branch Office Locations

WORLD INVESTMENTS, LLC  
24 East Cota Street  
Suite 200  
Santa Barbara, CA 93101

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## Broker Qualifications

### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

**This individual has passed 2 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Municipal Fund Securities Principal Examination	Series 51	06/11/2009
<b>B</b> General Securities Principal Examination	Series 24	01/31/2003

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	11/01/2002

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	08/09/2005

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).



## Broker Qualifications

## Professional Designations

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

### Chartered Financial Analyst

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 09/2017 - 10/2025	PENSIONMARK SECURITIES, LLC	283952	Tampa, FL
<b>B</b> 09/2016 - 09/2017	CAPFINANCIAL SECURITIES, LLC.	126291	RALEIGH, NC
<b>B</b> 04/2012 - 08/2016	LPL FINANCIAL LLC	6413	TAMPA, FL
<b>IA</b> 04/2012 - 08/2016	INDEPENDENT FINANCIAL PARTNERS	125112	TAMPA, FL
<b>IA</b> 02/2009 - 04/2012	INVEST FINANCIAL CORPORATION	12984	CLEARWATER, FL
<b>B</b> 02/2009 - 04/2012	INVEST FINANCIAL CORPORATION	12984	CLEARWATER, FL
<b>IA</b> 07/2007 - 02/2009	INTERSECURITIES, INC.	16164	CLEARWATER, FL
<b>B</b> 07/2007 - 02/2009	INTERSECURITIES, INC.	16164	CLEARWATER, FL
<b>IA</b> 09/2005 - 02/2006	GUNNALLEN FINANCIAL, INC	17609	TAMPA, FL
<b>B</b> 02/2005 - 02/2006	GUNNALLEN FINANCIAL, INC	17609	TAMPA, FL
<b>B</b> 11/2002 - 01/2005	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	ST. PETERSBURG, FL

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment	Employer Name	Position	Investment Related	Employer Location
10/2025 - Present	WORLD INVESTMENTS, INC.	Mass Transfer	Y	Santa Barbara, CA, United States
09/2017 - Present	PENSIONMARK SECURITIES, LLC	Registered Representative	Y	Santa Barbara, CA, United States
08/2016 - Present	PENSIONMARK FINANCIAL GROUP, LLC	INVESTMENT ADVISOR	Y	SANTA BARBARA, CA, United States





## Registration and Employment History

### Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
08/2016 - 09/2017	CAPFINANCIAL SECURITIES, LLC.	REGISTERED REPRESENTATIVE	Y	SANTA BARBARA, CA, United States
05/2012 - 08/2016	INDEPENDENT FINANCIAL PARTNERS	INVESTMENT ADVISOR	Y	TAMPA, FL, United States
04/2012 - 08/2016	LPL FINANCIAL	REGISTERED REPRESENTATIVE	Y	TAMPA, FL, United States

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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. FINRA; INVESTMENT RELATED; LOCATIONS DETERMINED BY FINRA; REGULATOR; FINRA ARBITRATOR; 06/15/2012; 1%; 1%; WILL SIT ON PANEL THAT RENDERS OUTCOME IN ARBITRATIONS
2. Expert Witness; Investment Related; Conduct research and give testimony. Business is not related to the RIA or B/D. Expert Witness; 3/21/2022; 5 hours per month; 0 hours during trading hours; Conduct research and give testimony. This activity will not constitute investment advice.

## End of Report



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