BrokerCheck Report

IFAST SECURITIES US CORPORATION

CRD# 327903

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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.
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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

For additional information about the contents of this report, please refer to the User Guidance or 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.

IFAST SECURITIES US CORPORATION

CRD# 327903

SEC# 8-71137

Main Office Location

201 MISSION STREET
SUITE 640
SAN FRANCISCO, CA 94105
Regulated by FINRA San Francisco Office

Mailing Address

201 MISSION STREET
SUITE 640
SAN FRANCISCO, CA 94105

Business Telephone Number

(669) 242-5999

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a corporation.

This firm was formed in Delaware on 05/07/2021.

Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This firm is registered with:

- the SEC
- 2 Self-Regulatory Organizations
- 1 U.S. state or territory

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 1 type of business.

This firm is affiliated with financial or investment institutions.

This firm does not have referral or financial arrangements with other brokers or dealers.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

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

The number of disclosures from non-registered control affiliates is 1

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Firm Profile

This firm is classified as a corporation.

This firm was formed in Delaware on 05/07/2021.

Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

IFAST SECURITIES US CORPORATION

Doing business as IFAST SECURITIES US CORPORATION

CRD# 327903

SEC# 8-71137

Main Office Location

201 MISSION STREET
SUITE 640
SAN FRANCISCO, CA 94105

Regulated by FINRA San Francisco Office

Mailing Address

201 MISSION STREET
SUITE 640
SAN FRANCISCO, CA 94105

Business Telephone Number

(669) 242-5999

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Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any):	IFAST CORPORATION LTD
Is this a domestic or foreign entity or an individual?	Foreign Entity
Position	SHAREHOLDER
Position Start Date	05/2021
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	Yes

Legal Name & CRD# (if any):	CHUA, WOON YANG 7475891
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	07/2025
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	HENDERSON, STUART ROBERT 1121476
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP
Position Start Date	05/2024

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Firm Profile

Direct Owners and Executive Officers (continued)

Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	ISRAEL, ADAM MICHAEL 1217606
Is this a domestic or foreign entity or an individual?	Individual
Position	CCO
Position Start Date	06/2025
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	LI, HERAN 8184422
Is this a domestic or foreign entity or an individual?	Individual
Position	PRINCIPAL OPERATING OFFICER
Position Start Date	02/2026
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	LIM, ZHI HAO HENRY

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Firm Profile

Direct Owners and Executive Officers (continued)

	7499888
Is this a domestic or foreign entity or an individual?	Individual
Position	POO
Position Start Date	12/2021
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	TAN, SUI HAN EUGENE
	7430048
Is this a domestic or foreign entity or an individual?	Individual
Position	GENERAL SECURITIES PRINCIPAL
Position Start Date	10/2026
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	WONG, TUNG KIN
	7430038
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF EXECUTIVE OFFICER
Position Start Date	10/2026
Percentage of Ownership	Less than 5%

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Firm Profile

Direct Owners and Executive Officers (continued)

Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	YEE, JUN XIAN 7461734
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP, PFO
Position Start Date	10/2021
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

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Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

No information reported.

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Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.

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Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is currently registered with the SEC, 2 SROs and 1 U.S state or territory.

Federal Regulator	Status	Date Effective
SEC	Approved	07/22/2024

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	07/22/2024
Cboe EDGX Exchange, Inc.	Approved	02/18/2026

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
California	Approved	03/10/2026

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Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 1 type of business.

Types of Business

Non-exchange member arranging for transactions in listed securities by exchange member

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Firm Operations

Clearing Arrangements

This firm does hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does not refer or introduce customers to other brokers and dealers.

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Firm Operations

Industry Arrangements

This firm does have books or records maintained by a third party.

Name:	MICROSOFT
Business Address:	ONE MICROSOFT WAY REDMOND, WA 98052
Effective Date:	04/24/2024
Description:	MICROSOFT KEEPS AND MAINTAINS CERTAIN BOOKS AND RECORDS FOR IFAST SECURITIES US CORPORATION.

Name:	AMAZON WEB SERVICES, INC.
Business Address:	410 TERRY AVENUE NORTH SEATTLE, WA 98109
Effective Date:	04/24/2024
Description:	AMAZON WEB SERVICES PROVIDES CLOUD STORAGE SOLUTIONS FOR BOOKS AND RECORDS OF IFAST SECURITIES US CORPORATION

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.

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Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- **in control of**
- **controlled by**
- **or under common control with**

the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

IFAST GLOBAL TRUST PTE LTD is under common control with the firm.

Business Address:	10 COLLYER QUAY #26-01 OCEAN FINANCIAL CENTRE SINGAPORE, SINGAPORE 049315
Effective Date:	05/23/2023
Foreign Entity:	Yes
Country:	SINGAPORE
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE APPLICANT AND IFAST GLOBAL TRUST PTE LTD ARE UNDER COMMON CONTROL OF IFAST CORPORATION LTD.

BONDSUPERMART SDN BHD is under common control with the firm.

Business Address:	LEVEL 13, MENARA AIA SENTRAL NO. 30 JALAN SULTAN ISMAIL KUALA LUMPUR, MALAYSIA 50250
Effective Date:	01/15/2025
Foreign Entity:	Yes
Country:	MALAYSIA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE APPLICANT AND BONDSUPERMART SDN BHD IS UNDER COMMON CONTROL OF IFAST CORPORATION LTD.

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Firm Operations

Organization Affiliates (continued)

IFAST GLOBAL MARKETS (HK) LIMITED is under common control with the firm.

Business Address:	SUITE 702 TOWER 5 THE GATEWAY, 15 CANTON RD, TSIM SHA TSUI HONG KONG, HONG KONG
Effective Date:	05/07/2021
Foreign Entity:	Yes
Country:	HONG KONG
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	THE APPLICANT AND IFAST GLOBAL MARKETS(HK) LIMITED IS UNDER COMMON CONTROL OF IFAST CORPORATION LTD.

IFAST INVESTMENT MANAGEMENT CHINA LIMITED is under common control with the firm.

Business Address:	SUITE 2902, 29/F, JIN MAO TOWER 88 CENTURY AVENUE, PUDONG SHANGHAI, CHINA 200121
Effective Date:	05/07/2021
Foreign Entity:	Yes
Country:	CHINA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE APPLICANT AND IFAST INVESTMENT MANAGEMENT CHINA LIMITED IS UNDER COMMON CONTROL OF IFAST CORPORATION LTD.

IFAST FINANCIAL CHINA LTD is under common control with the firm.

Business Address:	SUITE 1704, 17F, TOWER A AEROSPACE SCIENCE AND TECHNOLOGY SQUARE,3RD HAIDE NANSHAN DISTRICT, SHENZHEN, CHINA
Effective Date:	05/07/2021
Foreign Entity:	Yes
Country:	CHINA

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Firm Operations

Organization Affiliates (continued)

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: THE APPLICANT AND IFAST FINANCIAL CHINA LTD IS UNDER COMMON CONTROL OF IFAST CORPORATION LTD.

IFAST FINANCIAL (HK) LIMITED is under common control with the firm.

Business Address:
SUITE 702 TOWER 5
THE GATEWAY, 15 CANTON RD, TSIM SHA TSUI
HONG KONG, HONG KONG

Effective Date: 05/07/2021

Foreign Entity: Yes

Country: HONG KONG

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: THE APPLICANT AND IFAST FINANCIAL (HK) LTD IS UNDER COMMON CONTROL OF IFAST CORPORATION LTD.

IFAST SECURITIES (HK) LIMITED is under common control with the firm.

Business Address:
SUITE 702 TOWER 5
THE GATEWAY, 15 CANTON RD, TSIM SHA TSUI
HONG KONG, HONG KONG

Effective Date: 05/07/2021

Foreign Entity: Yes

Country: HONG KONG

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE APPLICANT AND IFAST SECURITIES (HK) LTD IS UNDER COMMON CONTROL OF IFAST CORPORATION LTD.

IFAST CAPITAL SDN BHD is under common control with the firm.

Business Address:
LEVEL 28 MENARA AIA SENTRAL
30, JALAN SULTAN ISMAIL

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Firm Operations

Organization Affiliates (continued)

	KUALA LUMPUR, MALAYSIA 50250
Effective Date:	05/07/2021
Foreign Entity:	Yes
Country:	MALAYSIA
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	THE APPLICANT AND IFAST CAPITAL SDN BHD IS UNDER COMMON CONTROL OF IFAST CORPORATION LTD.

IFAST FINANCIAL PTE LTD is under common control with the firm.

Business Address:	10 COLLYER QUAY #26-01 OCEAN FINANCIAL CENTRE SINGAPORE, SINGAPORE 049315
Effective Date:	05/07/2021
Foreign Entity:	Yes
Country:	SINGAPORE
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	THE APPLICANT AND IFAST FINANCIAL PTE LTD IS UNDER COMMON CONTROL OF IFAST CORPORATION LTD. THE APPLICANT WILL PROVIDE ORDER EXECUTION FUNCTIONALITY TO IFAST FINANCIAL PTE LTD.

This firm is not directly or indirectly, controlled by the following:

- **bank holding company**
- **national bank**
- **state member bank of the Federal Reserve System**
- **state non-member bank**
- **savings bank or association**
- **credit union**
- **or foreign bank**

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Disclosure Events for Non-Registered Control Affiliates

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	1	0

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Disclosure Event Details

Regulatory - Final

Disclosure 1 of 1

Reporting Source:	Firm
Affiliate:	IFAST FINANCIAL PTE LTD
Current Status:	Final
Allegations:	IN 2006, IFAST FINANCIAL PTE LTD (THE "CONTROL AFFILIATE") HAD SET UP A WHOLLY-OWNED SUBSIDIARY,IFAST NOMINEES PTE LTD, TO PROVIDE NOMINEE SERVICES FOR UNIT TRUSTS OF THE CUSTOMERS OF THE CONTROL AFFILIATE FOR BETTER SEGREGATION OF CLIENT ASSETS. ACCORDINGLY, IFAST NOMINEES OPENED AND OPERATED FOUR (4) BANK ACCOUNTS WITH STANDARD CHARTERED BANK TO HANDLE UNIT TRUSTS REDEMPTION MONEYS FROM THE CUSTOMERS OF THE CONTROL AFFILIATE. IN 2008, THE CONTROL AFFILIATE'S REGULATOR, MONETARY AUTHORITY OF SINGAPORE ("MAS"), INFORMED THE CONTROL AFFILIATETHAT IT WAS IN CONTRAVENTION OF SECTION 104(1)(B) OF THE SECURITIES AND FUTURES ACT ("SFA") READ WITH REGULATION 16(1)(B) OF THE LICENSING AND CONDUCT OF BUSINESS REGULATIONS ("LCBR"), AND IN CONTRAVENTION OF SECTION 104(1)(B) OF THE SFA READ WITH REGULATION 21 OF THE LCBR.
Initiated By:	MONETARY AUTHORITY OF SINGAPORE
Date Initiated:	09/04/2009
Docket/Case Number:	
Principal Product Type:	Mutual Fund(s)
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Settled
Resolution Date:	09/15/2009
Sanctions Ordered:	Monetary/Fine $17,575.93
Other Sanctions Ordered:	
Sanction Details:	IFAST FINANCIAL PTE LTD PAID A FINE OF $25,000 SGD (SINGAPORE

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DOLLAR) AND THE AMOUNT ABOVE REFLECTS THE CONVERSION TO USD.

Firm Statement

MAS DID NOT FIND ANY LOSSES SUFFERED DIRECTLY BY THE CONTROL AFFILIATE'S CUSTOMERS AS A RESULTOF THESE CONTRAVENTIONS. THE CONTROL AFFILIATE HAD ALSO COOPERATED FULLY WITH MAS AND RECTIFIED THE CONTRAVENTIONS BY NOVEMBER 10, 2008. IFAST NOMINEES HAD CLOSED THE BANK ACCOUNTS WITH STANDARD CHARTERED BANK AFTER TRANSFERRING THE TRUST MONIES BACK TO THECONTROL AFFILIATE. THE CONTROL AFFILIATE NO LONGER USES IFAST NOMINEES TO PROVIDE NOMINEE SERVICES AND THE CONTROL AFFILIATE HAS TAKEN OVER AS PROVIDER OF SUCH NOMINEE SERVICE. IN ITSLETTER DATED SEPTEMBER 4, 2009, MAS HAD REPRIMANDED THE CONTROL AFFILIATE, AND MADE AN OFFEROF COMPOSITION FOR A TOTAL OF SGD $25,000 PROVIDED THAT THE CONTROL AFFILIATE FURNISHED MAS WITH:(A) THE CONTROL AFFILIATE'S AGREEMENT THAT THE OFFENCE BE DEALT WITH UNDER SECTION 336(2) OFTHE SFA AND THE CONTROL AFFILIATE'S ACCEPTANCE OF THE OFFER OF COMPOSITION MADE BY MAS; AND(B) A CHECK FOR THE SUM OF $25,000 IN SETTLEMENT OF THE COMPOUNDED SUM. ON SEPTEMBER 15, 2009,THE CONTROL AFFILIATE ACCEPTED AND PAID THE OFFER OF COMPOSITION MADE BY MAS.

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End of Report

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