

BrokerCheck Report

JONGSIK KIM

CRD# 1617686

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Please be aware that fraudsters may link to BrokerCheck 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.

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



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.



JONGSIK KIM

CRD# 1617686

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

B **MML INVESTORS SERVICES, LLC**
3700 W WILSHIRE BLVD
SUITE 1009
LOS ANGELES, CA 90010
CRD# 10409
Registered with this firm since: 03/11/2008

IA **MML INVESTORS SERVICES, LLC**
3700 W WILSHIRE BLVD
SUITE 1009
LOS ANGELES, CA 90010
CRD# 10409
Registered with this firm since: 03/26/2008

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
- 4 U.S. states and territories

This broker has passed:

- 0 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):

- IA** **METLIFE SECURITIES INC.**
CRD# 14251
SPRINGFIELD, MA
03/2007 - 03/2008
- B** **METLIFE SECURITIES INC.**
CRD# 14251
LOS ANGELES, CA
09/2005 - 03/2008
- B** **METROPOLITAN LIFE INSURANCE COMPANY**
CRD# 4095
LOS ANGELES, CA
09/2005 - 07/2007

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? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	3
Termination	1



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 4 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **MML INVESTORS SERVICES, LLC**
Main Office Address: **1295 STATE STREET
SPRINGFIELD, MA 01111-0001**
Firm CRD#: **10409**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	03/11/2008

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	03/11/2008
IA	California	Investment Adviser Representative	Approved	03/26/2008
B	Nevada	Agent	Approved	09/29/2021
B	New York	Agent	Approved	03/06/2015
B	Texas	Agent	Approved	08/11/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	08/12/2021

Branch Office Locations

MML INVESTORS SERVICES, LLC
3700 W WILSHIRE BLVD
SUITE 1009
LOS ANGELES, CA 90010



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.

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
<div>B</div> Securities Industry Essentials Examination	SIE	10/01/2018
<div>B</div> General Securities Representative Examination	Series 7	06/20/1991

State Securities Law Exams

Exam	Category	Date
<div>B</div> Uniform Securities Agent State Law Examination	Series 63	06/26/1991

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/.

Broker Qualifications



Professional Designations

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

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 03/2007 - 03/2008	METLIFE SECURITIES INC.	14251	LOS ANGELES, CA
B 09/2005 - 03/2008	METLIFE SECURITIES INC.	14251	LOS ANGELES, CA
B 09/2005 - 07/2007	METROPOLITAN LIFE INSURANCE COMPANY	4095	LOS ANGELES, CA
B 04/2003 - 09/2005	MML INVESTORS SERVICES, INC.	10409	SPRINGFIELD, MA
B 10/1999 - 07/2002	METLIFE SECURITIES INC.	14251	SPRINGFIELD, MA
B 10/1999 - 07/2002	METROPOLITAN LIFE INSURANCE COMPANY	4095	NEW YORK, NY
B 06/1991 - 06/1999	NYLIFE SECURITIES INC.	5167	NEW YORK, NY

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
03/2008 - Present	MML INVESTORS SERVICES, INC.	REG REP	Y	LOS ANGELES, CA, United States
02/2008 - Present	MASSMUTUAL FINANCIAL	AGENT	N	LOS ANGELES, CA, United States
08/2005 - Present	METLIFE SECURITIES	SALES	Y	LOS ANGELES, CA, United States
08/2005 - Present	METROPOLITAN LIFE INS	SALES	Y	LOS ANGELES, CA, United States

Registration and Employment History



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.

NAME: JONGSIK KIM INV REL: Y ADD: 3530 WILSHIRE BLVD SUITE 1050, LOS ANGELES, CA 90010 NATURE: INSURANCE POSITION: AGENT START DATE: 03/1983 NO. HR/MO: 1 NO. HR/MO DURING SEC TRADING: 0 (2) NAME: JONGSIK KIM INV REL: Y ADD: 3429 W OLYMPIC BLVD UNIT 502 LOS ANGELES CA 90019 & SEO CHO 60 50-5 SHIN BAN PO APT 325 -1107 SEOUL KOREA NATURE: CONDO RENTAL INCOME POSITION: OWNER START DATE: 8/8/2014 NO HRS/MO: 0 NO HRS/MO DUR TRADING: 0 DUTIES: OWN A CONDOMINIUM AND RENT WITH THE TENANT.

Disclosure Events



What you should know about reported disclosure events:

1. 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.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	3	N/A
Termination	N/A	1	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: NYLIFE SECURITIES INC.

Allegations: CLAIMANT, BY HER ATTORNEY, HAS COMMENCED AN NASD ARBITRATION AGAINST MR. KIM AND NEW YORK LIFE INSURANCE COMPANY. THE STATEMENT OF CLAIM IN ARBITRATION ALLEGES THAT MR. KIM RECOMMENDED THAT THE CLAIMANT INVEST IN SHARES OF A PRE-PUBLIC STOCK OFFERING IN SATCOM MEDIA GROUP ("SATCOM"). THE CLAIMANT FURTHER ALLEGES THAT SATCOM FAILED SHORTLY THEREAFTER, AND THE CLAIMANT LOST \$57,500.

Product Type: Other

Alleged Damages: \$57,500.00

Customer Complaint Information

Date Complaint Received: 06/20/2000

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 06/20/2000

Settlement Amount:

Individual Contribution Amount:



Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NUMBER 00-02204

Date Notice/Process Served: 06/16/2000

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/04/2001

Monetary Compensation Amount: \$250,000.00

Individual Contribution Amount: \$0.00

Firm Statement

THE CLAIMANT IN THIS ARBITRATION IS JOINED BY SIX OTHER INDIVIDUAL INVESTORS IN SATCOM. THESE SIX INDIVIDUALS, BY THEIR ATTORNEY, HAD PREVIOUSLY MADE A WRITTEN COMPLAINT TO NEW YORK LIFE REGARDING MR. KIM. THAT COMPLAINT WAS DISCLOSED IN A PREVIOUSLY FILED AMENDMENT TO MR. KIM'S FORM U-5. AFTER COMMENCEMENT OF THE ARBITRATION PROCEEDING AND DURING MEDIATION, THE CLAIMANTS AGREED TO SETTLE THEIR CLAIMS AGAINST NYLSEC FOR \$250,000. THE CLAIMANTS CONTINUED THE ARBITRATION PROCEEDING AGAINST KIM. DURING THE ARBITRATION HEARING THE CLAIMANTS AGREED TO SETTLE THEIR CLAIMS AGAINST KIM FOR \$50,000, PAYABLE IN QUARTERLY INSTALLMENTS OVER A TWO YEAR PERIOD.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: NYLIFE SECURITIES, INC.

Allegations: CLAIMANT BY HER ATTORNEY HAS COMMENCED AN NASD ARBITRATION AGAINST MR. KIM AND NYLIFE. THE STATEMENT OF CLAIM IN ARBITRATION ALLEGES THAT MR. KIM RECOMMENDED THAT THE CLAIMANT INVEST IN SHARES OF A PRE-PUBLIC STOCK OFFERING IN SATCOM MEDIA GROUP. THE CLAIMANT FURTHER ALLEGES THAT SATCOM FAILED SHORTLY THEREAFTER AND CLAIMANT LOST \$57,500.

Product Type: Other

Other Product Type(s): PRE-PUBLIC STOCK



Alleged Damages: \$57,500.00

Customer Complaint Information

Date Complaint Received: 06/20/2000

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 06/20/2000

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NUMBER 00-02204

Date Notice/Process Served: 06/16/2000

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/04/2001

Monetary Compensation Amount: \$250,000.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: NYLIFE SECURITIES, INC.

Allegations: [ATTORNEY] ON BEHALF OF THE [CUSTOMER] GROUP ALLEGES THAT UPON MR. KIM'S RECOMMENDATION, THEY PURCHASED SHARES OF A PRE-PUBLIC STOCK OFFERING IN A COMPANY CALLED, SATCOM MEDIA CORPORATION ("SATCOM").. THE [CUSTOMER] GROUP FURTHER ALLEGES THAT MR. KIM "VIOLATED HIS FIDUCIARY DUTY" TO THEM, IN SUCH THAT "THROUGH NYLIFE'S OFFICES. KIM (L) EXERCISED CONTROL OVER HIS CLIENTS AND INFLUENCED THEM TO INVEST IN SATCOM." THE



[CUSTOMERS], [OTHER CUSTOMERS NAMED], [OTHER CUSTOMERS NAMED] AND [OTHER CUSTOMER NAMED] EACH INVESTED \$115,000, \$57,500, \$57,500 AND \$57,500 RESPECTIVELY IN SATCOM AND \$500,000 IN PUNITIVE DAMAGES. THE [CUSTOMER] GROUP IS SEEKING TO RECOUP THEIR MONIES INVESTED IN SATCOM AND \$500,000 IN PUNITIVE DAMAGES.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$402,500.00

Customer Complaint Information

Date Complaint Received: 02/04/1999

Complaint Pending? No

Status: Arbitration/Reparation
Denied

Status Date: 04/27/1999

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NUMBER 00-02204

Date Notice/Process Served: 06/16/2000

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/04/2001

Monetary Compensation Amount: \$250,000.00

Individual Contribution Amount: \$0.00

Firm Statement AFTER COMMENCEMENT OF THE ARBITRATION PROCEEDING AND DURING MEDIATION, THE CLAIMANTS AGREED TO SETTLE THEIR CLAIMS AGAINST NYLSEC FOR \$250,000. THE CLAIMANTS CONTINUED THE ARBITRATION PROCEEDING AGAINST KIM. DURING THE ARBITRATION HEARING THE CLAIMANTS AGREED TO SETTLE THEIR CLAIMS AGAINST KIM FOR \$50,000, PAYABLE IN QUARTERLY INSTALLMENTS OVER A TWO YEAR PERIOD.



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: NYLIFE SECURITIES, INC

Allegations: INTRODUCING INVESTMENT IN AN UNSUCCESSFUL BUSINESS.

Product Type: Other

Other Product Type(s): PRIVATE INVESTMENT OFFERING SHARES

Alleged Damages: \$230,000.00

Customer Complaint Information

Date Complaint Received: 02/04/1999

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 04/27/1999

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE # 00-02204

Date Notice/Process Served: 06/16/2000

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/04/2001

Monetary Compensation Amount: \$250,000.00

Individual Contribution Amount: \$0.00



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	MML INVESTORS SERVICES, LLC
Allegations:	The complainant alleges that, beginning in 2014, the rep was involved in a matter where her signatures were forged and her annuity was surrendered without her consent.
Product Type:	Annuity-Variable
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	The Firm has been unable to determine that potential damages from the alleged activity would be under \$5,000.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	03/10/2023
Complaint Pending?	No
Status:	Denied
Status Date:	06/29/2023
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	Internal case #202303310256. This matter relates to lawsuits that were previously reported on the U4 (case numbers 20STCV24343 and 21STCV18489).





Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Broker
Employer Name:	NYLIFE SECURITIES, INC.
Termination Type:	Discharged
Termination Date:	05/13/1999
Allegations:	THROUGH THEIR ATTORNEY SIX INDIVIDUALS(AHN'S GROUP) ALLEGED THAT THEY HAVE INVESTED \$230,000 IN SHARES OF SATCOM MEDIA CORPORATION AND MR. JONGSIK KIM HAD BEEN INVOLVED IN THE SALE. INTRODUCING INVESTMENT IN AN UNSUCCESSFUL BUSINESS.
Product Type:	Other
Other Product Types:	PRIVATE INVESTMENT OFFERING SHARES
Broker Statement	THE NYLIFE SECURITIES, INC. REVIEWED THE AHN GROUP'S ALLEGATIONS. AS A RESULT NO SUFFICIENT EVIDENCE WAS FOUND TO SUBSTANTIATE THE AHN GROUP'S CLAIM. AS SUCH, NO OFFER WAS MADE AND THE NYLIFE SECURITIES INC. CONSIDERS THE MATTER CLOSED. I WAS ADVISED THAT I HAVE BEEN TERMINATED AS OF 05/13/1999.

End of Report



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