BrokerCheck Report

Jimmy J Suh

CRD# 2264741

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.

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.

Jimmy J. Suh

CRD# 2264741

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

IA **PFG ADVISORS**
1511 Cravens Avenue
Torrance, CA 90501
CRD# 173344
Registered with this firm since: 09/22/2020

B **OSAIC WEALTH, INC.**
3720 S FLOWER ST 1ST FLOOR
LOS ANGELES, CA 90089
CRD# 23131
Registered with this firm since: 06/14/2024

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:

- 4 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

B **SECURITIES AMERICA, INC.**
CRD# 10205
LOS ANGELES, CA
09/2022 - 06/2024

B **MIRAE ASSET WEALTH MANAGEMENT (USA) INC.**
CRD# 147991
LOS ANGELES, CA
08/2017 - 10/2020

IA **MIRAE ASSET WEALTH MANAGEMENT (USA) INC.**
CRD# 147991
LOS ANGELES, CA
08/2017 - 10/2020

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

Employment 1 of 2

Firm Name: **OSAIC WEALTH, INC.**

Main Office Address: **18700 N. HAYDEN ROAD**
SUITE 255
SCOTTSDALE, AZ 85255

Firm CRD#: **23131**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	06/14/2024
B	FINRA	General Securities Representative	Approved	06/14/2024
B	FINRA	General Securities Sales Supervisor	Approved	06/14/2024
B	FINRA	Investment Co./Variable Contracts Prin	Approved	06/14/2024

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	06/14/2024

Branch Office Locations

OSAIC WEALTH, INC.
3720 S FLOWER ST 1ST FLOOR
LOS ANGELES, CA 90089

Employment 2 of 2

Firm Name: **PFG ADVISORS**

Main Office Address: **3200 N. CENTRAL AVE**
SUITE #200
PHOENIX, AZ 85012

Broker Qualifications

Employment 2 of 2, continued

Firm CRD#: **173344**

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	09/22/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	08/02/2021

Branch Office Locations

434 W. Alameda Ave.
Burbank, CA 91506

5300 Melrose Ave. #107
Hollywood, CA 90038

1511 Cravens Avenue
Torrance, CA 90501

3720 Flower St
Los Angeles, CA 90007

3777 Sports Arena Blvd
San Diego, CA 92110

9420 Farnham St
San Diego, CA 92123

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 4 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	03/13/2022
B	General Securities Sales Supervisor - General Module Examination	Series 10	03/13/2022
B	General Securities Sales Supervisor - Options Module Examination	Series 9	03/13/2022
B	Investment Company Products/Variable Contracts Principal Examination	Series 26	03/13/2022

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination	Series 7TO	03/13/2022
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	08/19/1992

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	02/27/2010
B	Uniform Securities Agent State Law Examination	Series 63	09/14/1992

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
B	09/2022 - 06/2024	SECURITIES AMERICA, INC.	10205	LOS ANGELES, CA
B	08/2017 - 10/2020	MIRAE ASSET WEALTH MANAGEMENT (USA) INC.	147991	LOS ANGELES, CA
IA	08/2017 - 10/2020	MIRAE ASSET WEALTH MANAGEMENT (USA) INC.	147991	LOS ANGELES, CA
B	04/2017 - 08/2017	CETERA ADVISOR NETWORKS LLC	13572	FULLERTON, CA
IA	04/2017 - 08/2017	CETERA ADVISOR NETWORKS LLC	13572	FULLERTON, CA
B	02/2012 - 12/2016	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	SAN BERNARDINO, CA
IA	02/2012 - 12/2016	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	SAN BERNARDINO, CA
B	09/2009 - 02/2012	WADDELL & REED, INC.	866	ONTARIO, CA
IA	09/2009 - 02/2012	WADDELL & REED, INC.	866	ONTARIO, CA
B	07/2009 - 08/2009	LPL FINANCIAL CORPORATION	6413	SAN BERNARDINO, CA
IA	07/2009 - 08/2009	LPL FINANCIAL CORPORATION	6413	SAN BERNARDINO, CA
B	03/2005 - 05/2009	WELLS FARGO INVESTMENTS, LLC	10582	LOS ANGELES, CA
IA	03/2005 - 05/2009	WELLS FARGO INVESTMENTS, LLC	10582	LOS ANGELES, CA
B	11/2003 - 02/2005	WM FINANCIAL SERVICES, INC.	599	IRVINE, CA
IA	07/2000 - 11/2003	CHASE INVESTMENT SERVICES CORP.	25574	NEW YORK, NY
B	08/1996 - 11/2003	CHASE INVESTMENT SERVICES CORP.	25574	CHICAGO, IL
B	05/1995 - 08/1996	BHCM INC.	34637	HOUSTON, TX
B	08/1992 - 02/1995	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN
B	08/1992 - 02/1995	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN

Registration and Employment History

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
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	LOS ANGELES, CA, United States
09/2020 - Present	PFG Advisors, LLC	Investment Adviser Representative	Y	Phoenix, AZ, United States
09/2022 - 06/2024	Securities America, Inc.	Registered Representative	Y	Los Angeles, CA, United States
07/2017 - 09/2020	MIRAE ASSET WEALTH MANAGEMENT	Managing Director - SVP	Y	Los Angeles, CA, United States
03/2017 - 07/2017	EAGLE WEALTH MANAGEMENT / CETERA ADVISOR NETWORKS LLC	PRESIDENT	Y	EL SEGUNDO, CA, United States
11/2016 - 03/2017	Unemployed	setting up Eagle Wealth Management	N	Fullerton, CA, United States
02/2012 - 11/2016	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED/ BANK OF AMER	REGIONAL EXECUTIVE II	Y	FULLERTON, CA, 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.

***HIGHLAND CAPITAL BROKERAGE
POSITION: client NATURE: Life Insurance INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 08/02/2023 ADDRESS: 3535 Grandview Parkway, Suite 600, Birmingham AL 35243 DESCRIPTION: Highland Capital provides annuity support for the advisors

***CAPITAS FINANCIAL
POSITION: none NATURE: Insurance INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 08/02/2023 ADDRESS: 200 Coon Rapids Boulevard, Suite 300, Minneapolis, MN 55433 DESCRIPTION: Capitas provide life policy resource for our clients in term insurance and whole life policies.

***PFG ADVISORS LLC

Registration and Employment History

Other Business Activities, continued

POSITION: Advisors NATURE: PFG Advisors LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 160 START DATE: 08/02/2023 ADDRESS: 3200 N Central Avenue, Suite 200, Phoenix CA 85012 DESCRIPTION: PFG Advisor is my back-office RIA

***PFG ADVISORS - ON BOARDING NEW ADVISORS
POSITION: Trainer NATURE: PFG Advisors - I am assisting PFG Advisors, my RIA with on boarding training for new advisors. INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 4 START DATE: 12/01/2023 ADDRESS: 3200 N Central Avenue, Suite 200, Phonenix AZ 85012 DESCRIPTION: Training new advisors into PFG Advisors for their onboarding experience.

***DBA - Trojan Wealth Management

***UNIVERSITY OF SOUTHERN CALIFORNIA
POSITION: Private Wealth Manager NATURE: USC is a university filed under as a corporation. INVESTMENT RELATED: Yes NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 160 START DATE: 08/01/2024 ADDRESS: 3720 S Flower Street, 1st Floor, Los Angeles CA 90089 DESCRIPTION: Financial Plan - Establishing Financial Goals; Gather the data; Analyzing the Financial Situation; Developing a Financial Plan; Implementing the Plan; Monitoring and Reviewing

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	1	N/A

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CHASE INVESTMENT SERVICES CORP.
Allegations:	ALLEGATIONS:CHURNING,UNSUITABILITY,FAILURE TO ADEQUATELY DISCLOSE TAX CONSEQUENCES. ALLEGED DAMAGES: $45,000.00 IN SURRENDER CHARGES PLUS UNDISCLOSED TAX CONSEQUENCES.
Product Type:	Annuity(ies) - Fixed
Other Product Type(s):	VARIABLE ANNUITY AS WELL AS MUTUAL FUND
Alleged Damages:	$45,000.00

Customer Complaint Information

Date Complaint Received:	11/23/1998
Complaint Pending?	No
Status:	Settled
Status Date:	11/10/1999
Settlement Amount:	$25,812.00
Individual Contribution Amount:	$0.00
Broker Statement	NOT PROVIDED

NOT PROVIDED

End of Report

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