

BrokerCheck Report

ADELA LEE

CRD# 2455241

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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



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.

**ADELA LEE**

CRD# 2455241

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

IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
 560 S WINCHESTER BLVD
 SAN JOSE, CA 95128
 CRD# 7691
 Registered with this firm since: 01/16/2009

B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
 560 S WINCHESTER BLVD
 SAN JOSE, CA 95128
 CRD# 7691
 Registered with this firm since: 01/16/2009

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:

- 6 Self-Regulatory Organizations
- 34 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA MORGAN STANLEY & CO. INCORPORATED**
 CRD# 8209
 NEW YORK, NY
 04/2007 - 01/2009
- B MORGAN STANLEY & CO. INCORPORATED**
 CRD# 8209
 CUPERTINO, CA
 04/2007 - 01/2009
- IA MORGAN STANLEY**
 CRD# 7556
 PURCHASE, NY
 03/2001 - 04/2007

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? **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 6 SROs and is licensed in 34 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**

Main Office Address: **ONE BRYANT PARK
NEW YORK, NY 10036**

Firm CRD#: **7691**

	SRO	Category	Status	Date
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	05/07/2014
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	05/07/2014
B	Cboe Exchange, Inc.	General Securities Representative	Approved	01/16/2009
B	FINRA	General Securities Representative	Approved	01/16/2009
B	FINRA	Invest. Co and Variable Contracts	Approved	01/16/2009
B	FINRA	Investment Co./Variable Contracts Prin	Approved	01/16/2009
B	Nasdaq Stock Market	General Securities Representative	Approved	01/16/2009
B	New York Stock Exchange	General Securities Representative	Approved	01/16/2009

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	11/24/2009
B	Arizona	Agent	Approved	11/11/2009
B	Arkansas	Agent	Approved	11/24/2009
B	California	Agent	Approved	01/16/2009
IA	California	Investment Adviser Representative	Approved	01/16/2009

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Colorado	Agent	Approved	11/24/2009
B	Connecticut	Agent	Approved	11/11/2009
B	Delaware	Agent	Approved	11/24/2009
B	Florida	Agent	Approved	01/16/2009
B	Georgia	Agent	Approved	11/12/2009
B	Idaho	Agent	Approved	11/24/2009
B	Illinois	Agent	Approved	01/16/2009
B	Indiana	Agent	Approved	11/24/2009
B	Louisiana	Agent	Approved	11/24/2009
B	Maryland	Agent	Approved	11/11/2009
B	Massachusetts	Agent	Approved	11/11/2009
B	Michigan	Agent	Approved	11/12/2009
B	Minnesota	Agent	Approved	11/24/2009
B	Missouri	Agent	Approved	11/24/2009
B	Nevada	Agent	Approved	11/11/2009
B	New Hampshire	Agent	Approved	11/24/2009
B	New Jersey	Agent	Approved	11/11/2009
B	New York	Agent	Approved	01/16/2009
B	North Carolina	Agent	Approved	11/12/2009
B	Ohio	Agent	Approved	11/25/2009
B	Oregon	Agent	Approved	11/11/2009

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Pennsylvania	Agent	Approved	01/16/2009
B	Rhode Island	Agent	Approved	12/10/2025
B	South Carolina	Agent	Approved	11/24/2009
B	Tennessee	Agent	Approved	11/24/2009
B	Texas	Agent	Approved	01/16/2009
IA	Texas	Investment Adviser Representative	Restricted Approval	01/28/2009
B	Utah	Agent	Approved	11/12/2009
B	Virginia	Agent	Approved	09/03/2009
B	Washington	Agent	Approved	01/16/2009
B	Wisconsin	Agent	Approved	11/24/2009

Branch Office Locations

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

560 S WINCHESTER BLVD
SAN JOSE, CA 95128



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

Principal/Supervisory Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Principal Examination	Series 26	02/21/1995

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	10/18/2000
B General Securities Representative Examination	Series 7	09/14/2000
B Investment Company Products/Variable Contracts Representative Examination	Series 6	06/01/1994

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	10/12/2000
B Uniform Securities Agent State Law Examination	Series 63	04/20/1994

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 04/2007 - 01/2009	MORGAN STANLEY & CO. INCORPORATED	8209	CUPERTINO, CA
IA 04/2007 - 01/2009	MORGAN STANLEY & CO. INCORPORATED	8209	CUPERTINO, CA
IA 03/2001 - 04/2007	MORGAN STANLEY	7556	CUPERTINO, CA
B 08/2000 - 04/2007	MORGAN STANLEY DW INC.	7556	CUPERTINO, CA
B 06/1994 - 02/2000	WMA SECURITIES, INC.	32625	DULUTH, GA
B 06/1994 - 06/1994	INTERSECURITIES, INC.	16164	PHILADELPHIA, PA

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
08/2009 - Present	BANK OF AMERICA, N.A.	CLIENT ADVISORY	Y	SAN JOSE, CA, United States
01/2009 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	FINANCIAL ADVISOR	Y	SAN JOSE, 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.

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FOR PROFIT OR NOT FOR PROFIT: FOR-PROFIT ORGANIZATION

NAME OF OUTSIDE BUSINESS ORGANIZATION: ADELA LEE

INVESTMENT RELATED: N

ADDRESS OF BUSINESS:

SAN JOSE, CALIFORNIA 95125



Registration and Employment History

Other Business Activities, continued

NATURE OF BUSINESS: SOLE PROPRIETORSHIP,

POSITION, TITLE, ASSOCIATION: OWNER,

START DATE OF RELATIONSHIP: 1/1/2006

NUMBER OF HOURS DEVOTED: 1 HOUR(S) ANNUALLY

NUMBER OF HOURS DEVOTED DURING TRADING HOURS: 0

DUTIES: I WROTE 2 BOOKS IN CHINESE AND PUBLISHED THEM IN 2007.

1. THE MERMAID, PUBLISHED IN JAN 2007

2. THE SWIM, PUBLISHED IN OCT 2007.

THE FIRST BOOK WAS BASICALLY FOCUSED ON HOW I GOT THE DIVORCE IN 1993 AND RAISED MY KIDS (THREE OF THEM) FROM AGE 3,6 &9.

(2)FU JEN UNIVERSITY FOUNDATION - BOARD OF DIRECTORS

I*39163

For profit or not for profit: Non-Profit Organization

Name of outside business organization: Villages Da-Gu Drumming for Health

Investment related: N

Address of business:

Saratoga, California 95070

Nature of business: Other,Community service

Position, title, association: Other, I'm the Instructor for drumming

Start date of relationship: 3/6/2011

Number of hours devoted: 8 hour(s) Monthly

Number of hours devoted during trading hours: 0

Duties: Instructor of the drumming class

End of Report



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