

BrokerCheck Report

JAY KIM

CRD# 2943078

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5 - 6
Disclosure Events	7



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:
 - o 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
 - o 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.



JAY KIM
CRD# 2943078

This broker is not currently registered.

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 not currently registered.

This broker has passed:

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

Registration History

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

- B** APOLLO GLOBAL SECURITIES, LLC
CRD# 153502
New York, NY
02/2023 - 10/2024
- B** CREDIT SUISSE SECURITIES (USA) LLC
CRD# 816
NEW YORK, NY
05/2011 - 02/2023
- B** BARCLAYS CAPITAL INC.
CRD# 19714
NEW YORK, NY
06/2001 - 06/2011

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
Regulatory Event	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 broker is not currently registered.



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, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
B General Securities Principal Examination	Series 24	02/27/2018

General Industry/Product Exams

Exam	Category	Date
B Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	11/02/1998

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	01/22/2001

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 02/2023 - 10/2024	APOLLO GLOBAL SECURITIES, LLC	153502	New York, NY
B 05/2011 - 02/2023	CREDIT SUISSE SECURITIES (USA) LLC	816	NEW YORK, NY
B 06/2001 - 06/2011	BARCLAYS CAPITAL INC.	19714	NEW YORK, NY
B 04/2000 - 06/2001	SALOMON SMITH BARNEY INC.	7059	NEW YORK, NY
B 11/1998 - 04/2000	BARCLAYS CAPITAL INC.	19714	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
02/2023 - Present	APOLLO GLOBAL SECURITIES, LLC	CREDIT PROFESSIONAL	Y	NEW YORK, NY, United States
02/2023 - Present	ATLAS SP Partners, L.P.	CREDIT PROFESSIONAL	Y	NEW YORK, NY, United States
05/2011 - 02/2023	CREDIT SUISSE SECURITIES (USA) LLC	MANAGING DIRECTOR	Y	NEW YORK, NY, 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) SEEKER HOLDINGS LLC; INVESTMENT RELATED; 954 LEXINGTON AVENUE #333, NEW YORK, NY 10021; ESTABLISHMENT OF LEGAL ENTITY FOR PERSONAL FAMILY ASSET HOLDINGS WITH THE PRIMARY GOAL OF ESTATE PLANNING PURPOSES AND PERSONAL LIABILITY MANAGEMENT; MANAGING MEMBER; START DATE - FEBRUARY 2015; 1 HOUR PER MONTH (OR LESS); NO TIME DEVOTED DURING SECURITIES TRADING HOURS; MANAGEMENT



Registration and Employment History

Other Business Activities, continued

2) Tiger Maple, LLC; not investment-related; 61 Lexington Ave, Suite 1-A, New York, NY 10010; Business Description: entity created to make investments with partners in a limited liability manner Investments will include but are not limited to real estate and venture opportunities

5.your position, title, or relationship with other business- Managing Member

6.the start date of your relationship- November 2017

7.the approximate number of hours/month you devote to the other business- 1-2 hours

8.the number of hours you devote to the other business during securities trading hours- 0 hours

9.brief description of your duties relating to other business- Managing Member

3) Apex for Youth; not investment-related; 120 Walker St., 5th Fl, New York, NY 10013; director/(advisory) board member; Start Date: 02/2021; Hours per Month: 2; Duties: general board duties for non-profit to support disadvantaged youth in the Asian American community

May conduct investment related business and/or perform administrative services on behalf of ATLAS SP Partners, L.P., an affiliate of Apollo Global Securities, LLC, which is a wholly owned subsidiary of Apollo Global Management, Inc. ("AGM"). AGM is the ultimate parent company of Apollo Global Securities, LLC.

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:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o 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.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o 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.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o 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.
 - o 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
Regulatory Event	0	1	0



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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought:

Date Initiated: 01/29/2018

Docket/Case Number: 2015045496901

Employing firm when activity occurred which led to the regulatory action: Credit Suisse Securities (USA) LLC

Product Type: No Product

Allegations: Without admitting or denying the findings, Kim consented to the sanctions and to the entry of findings that he permitted administrative assistants at his member firm to complete at least five firm-required eLearning modules for him. The findings stated that while Kim was a Managing Director and supervisor at his firm, he and his administrative assistant received notices that he was required to complete certain eLearning modules by a given deadline. Rather than complete each eLearning module himself, as required, Kim provided his log-in credentials to two administrative assistants and requested that they complete certain trainings for him. Among the eLearning modules Kim permitted others to complete were his 2014 Annual Compliance Certification; "Unauthorized Trading Awareness and Education Certification," "Understanding Money Laundering, Terrorist Financing,



Sanctions and Corruption," and training on "Global Records Management."

Current Status:

Final

Resolution:

Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

01/29/2018

Sanctions Ordered:

Censure
Requalification

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Requalification 1 of 1

Requalification Type: Requalification by Exam

Length of time given to requalify: 60 days

Type of exam required : S24

Has condition been satisfied: No

**Regulator Statement**

In determining the sanctions in this matter, FINRA considered that Kim has been subject to firm imposed internal discipline in connection with the conduct described herein. That discipline included a firm imposed fine representing approximately 20 percent of Kim's 2015 incentive compensation payment, the issuance of a disciplinary letter, and a requirement that Kim retake selected eLearning modules.

Reporting Source: Broker

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 01/29/2018

Docket/Case Number: 2015045496901

Employing firm when activity occurred which led to the regulatory action: Credit Suisse Securities (USA) LLC

Product Type: No Product

Allegations: Without admitting or denying the findings, Kim consented to the sanction and to the entry of findings that, during the period between June 2013 and February 2015, he permitted administrative assistants to complete certain online eLearning training modules that he was personally required to complete in connection with his employer's "Firm Element" continuing education training program.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 01/29/2018

Sanctions Ordered: Censure
Requalification

Requalification 1 of 1

Requalification Type: Requalification by Exam



Length of time given to requalify: 60 DAYS

Type of exam required : SERIES 24

Has condition been satisfied: Yes

End of Report



This page is intentionally left blank.