

BrokerCheck Report

PAUL SANGYOP LEE

CRD# 5541067

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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.](http://www.finra.org)

**PAUL S. LEE**

CRD# 5541067

Currently employed by and registered with the following Firm(s):**IA KINGSWOOD WEALTH ADVISORS, LLC**

110 E Wilshire Ave
Suite 301
Fullerton, CA 92832
CRD# 288792

Registered with this firm since: 10/22/2021

B KINGSWOOD CAPITAL PARTNERS, LLC

110 E Wilshire Ave
Ste 301
Fullerton, CA 92832
CRD# 288898

Registered with this firm since: 10/22/2021

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
- 22 U.S. states and territories

This broker has passed:

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

Registration History**This broker was previously registered with the following securities firm(s):****IA MIRAE ASSET WEALTH MANAGEMENT (USA) INC.**

CRD# 147991
LOS ANGELES, CA
09/2015 - 11/2021

B MIRAE ASSET WEALTH MANAGEMENT (USA) INC.

CRD# 147991
Los Angeles, CA
09/2015 - 11/2021

IA GENTER ADVISORS LLC

CRD# 113916
LOS ANGELES, CA
04/2015 - 08/2016

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 1 SRO and is licensed in 22 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **KINGSWOOD CAPITAL PARTNERS, LLC**

Main Office Address: **11440 W. BERNARDO CT.
SUITE 300
SAN DIEGO, CA 92127**

Firm CRD#: **288898**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	10/22/2021
B	FINRA	General Securities Representative	Approved	10/22/2021

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	05/08/2026
B	California	Agent	Approved	10/22/2021
B	Colorado	Agent	Approved	10/22/2021
B	Connecticut	Agent	Approved	11/13/2025
B	Florida	Agent	Approved	02/10/2025
B	Hawaii	Agent	Approved	10/22/2021
B	Illinois	Agent	Approved	11/09/2021
B	Kansas	Agent	Approved	07/28/2025
B	Nebraska	Agent	Approved	08/04/2025
B	Nevada	Agent	Approved	10/22/2021
B	New Jersey	Agent	Approved	05/28/2025



Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	New York	Agent	Approved	10/22/2021
B	North Carolina	Agent	Approved	02/14/2025
B	Ohio	Agent	Approved	06/03/2025
B	Oregon	Agent	Approved	10/15/2025
B	South Carolina	Agent	Approved	11/17/2023
B	Tennessee	Agent	Approved	10/22/2021
B	Texas	Agent	Approved	11/07/2024
B	Virginia	Agent	Approved	01/06/2025
B	Washington	Agent	Approved	11/14/2023
B	West Virginia	Agent	Approved	06/25/2025
B	Wisconsin	Agent	Approved	10/07/2025

Branch Office Locations

KINGSWOOD CAPITAL PARTNERS, LLC

110 E Wilshire Ave
Ste 301
Fullerton, CA 92832

Employment 2 of 2

Firm Name: **KINGSWOOD WEALTH ADVISORS, LLC**
 Main Office Address: **11440 W. BERNARDO COURT
 SUITE 300
 SAN DIEGO, CA 92127**
 Firm CRD#: **288792**



Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	10/22/2021
IA	Colorado	Investment Adviser Representative	Approved	10/22/2021
IA	Illinois	Investment Adviser Representative	Approved	11/09/2021
IA	Kansas	Investment Adviser Representative	Approved	07/28/2025
IA	Nebraska	Investment Adviser Representative	Approved	08/04/2025
IA	Nevada	Investment Adviser Representative	Approved	11/02/2021
IA	New Jersey	Investment Adviser Representative	Approved	05/28/2025
IA	New York	Investment Adviser Representative	Approved	10/22/2021
IA	North Carolina	Investment Adviser Representative	Approved	02/14/2025
IA	Ohio	Investment Adviser Representative	Approved	06/03/2025
IA	South Carolina	Investment Adviser Representative	Approved	11/15/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	10/22/2021
IA	Virginia	Investment Adviser Representative	Approved	02/13/2025
IA	Washington	Investment Adviser Representative	Approved	01/02/2024
IA	West Virginia	Investment Adviser Representative	Approved	06/27/2025

Branch Office Locations

11440 W. BERNARDO COURT
SUITE 300
SAN DIEGO, CA 92127

110 E Wilshire Ave
Suite 301

Broker Qualifications



Employment 2 of 2, continued

Fullerton, CA 92832



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	04/18/2016

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	10/03/2008
B General Securities Representative Examination	Series 7	08/25/2008

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	09/24/2008

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 09/2015 - 11/2021	MIRAE ASSET WEALTH MANAGEMENT (USA) INC.	147991	Los Angeles, CA
IA 09/2015 - 11/2021	MIRAE ASSET WEALTH MANAGEMENT (USA) INC.	147991	Los Angeles, CA
IA 04/2015 - 08/2016	GENTER ADVISORS LLC	113916	LOS ANGELES, CA
IA 04/2015 - 08/2016	RNC GENTER CAPITAL MANAGEMENT	108618	LOS ANGELES, CA
IA 09/2014 - 03/2015	PRIVATE ADVISORY GROUP LLC	170043	ALISO VIEJO, CA
IA 09/2011 - 04/2014	AMERIVEST INVESTMENT MANAGEMENT, LLC	111514	IRVINE, CA
IA 09/2011 - 04/2014	TD AMERITRADE, INC.	7870	IRVINE, CA
B 09/2011 - 04/2014	TD AMERITRADE, INC.	7870	IRVINE, CA
B 04/2009 - 06/2011	WELLS FARGO ADVISORS, LLC	19616	ANAHEIM, CA
IA 04/2009 - 06/2011	WELLS FARGO ADVISORS, LLC	19616	ANAHEIM, CA
B 12/2008 - 04/2009	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	SEAL BEACH, CA
IA 12/2008 - 04/2009	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	SEAL BEACH, CA
IA 09/2008 - 11/2008	MORGAN STANLEY & CO. INCORPORATED	8209	IRVINE, CA
B 09/2008 - 11/2008	MORGAN STANLEY & CO. INCORPORATED	8209	IRVINE, CA
B 08/2008 - 09/2008	AMERIPRISE FINANCIAL SERVICES, INC.	6363	IRVINE, CA

Employment History



Registration and Employment History

Employment History, continued

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
10/2021 - Present	KINGSWOOD CAPITAL PARTNERS, LLC	Registered Representative	Y	San Diego, CA, United States
10/2021 - Present	KINGSWOOD WEALTH ADVISORS, LLC	Advisor	Y	San Diego, CA, United States
09/2015 - 10/2021	MIRAE ASSET WEALTH MANAGEMENT (USA) INC.	REGISTERED REPRESENTATIVE AND INVESTMENT ADVISOR	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) Vital Wealth Partners, LLC

- no
 - 2 Foxcrest, Irvine Ca 92620
 - insurance and fixed indexed annuities
 - managing director
 - 01/2020
 - 20 hours
 - 15 hours
- Sales of insurance products

2) USC - Asian Pacific American Alumni Association - Board Member

- no
 - 2607 Trousdale Pkwy, TCC 322 Los Angeles Ca 90089
 - College alumni association
 - Alumni Board Member
 - 2016
 - 4 hours
 - 0 hours
- I participate in Asian pacific American alumni events for USC.

Registration and Employment History



Other Business Activities, continued

3. Trinidad Coffee Company

-not investment related

-9828 firestone blvd. Downey, CA 90241

-Coffee roaster and distributor

-Managing Director

-3/20/2024

-10-20 hours per month

-0 hours per month

-Assist business by consulting for operational and marketing strategies to maximize growth and manage expenses

End of Report



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