

BrokerCheck Report

Chuanbing Rong

CRD# 6931802

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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.

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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)



Chuanbing Rong

CRD# 6931802

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

B GLOBALINK SECURITIES, INC.
 Monrovia, CA 91016
 CRD# 29721
 Registered with this firm since: 02/24/2020

IA TRANSGLOBAL ADVISORY, LLC
 CANTON, MI 48187
 CRD# 168709
 Registered with this firm since: 03/07/2022

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:

- 0 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 TRANSAMERICA FINANCIAL ADVISORS, INC
 CRD# 16164
 GLENVIEW, IL
 04/2018 - 02/2020

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
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 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: **GLOBALINK SECURITIES, INC.**
 Main Office Address: **3452 EAST FOOTHILL BOULEVARD
 SUITE 1040
 PASADENA, CA 91107**
 Firm CRD#: **29721**

	SRO	Category	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	02/24/2020
B	FINRA	General Securities Representative	Approved	01/26/2021

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	02/24/2020
B	Michigan	Agent	Approved	02/24/2020

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.

Employment 2 of 2

Firm Name: **TRANSGLOBAL ADVISORY, LLC**
 Main Office Address: **185 W CHESTNUT AVE
 MONROVIA, CA 91016**
 Firm CRD#: **168709**



Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
IA	Michigan	Investment Adviser Representative	Approved	03/07/2022

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.



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, 3 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
B General Securities Representative Examination	Series 7TO	01/26/2021
B Securities Industry Essentials Examination	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination	Series 6	04/12/2018

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	05/03/2018

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 **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 04/2018 - 02/2020	TRANSAMERICA FINANCIAL ADVISORS, INC	16164	GLENVIEW, IL

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
03/2022 - Present	Transglobal Advisory, LLC	Investment Advisor Representative	Y	Monrovia, CA, United States
08/2020 - Present	Rick Young Insurance	Health Insurance Agent	N	Canton, MI, United States
07/2020 - Present	Jack Schroeder and Associates (JSA), LLC	Health Insurance Agent	N	Canton, MI, United States
02/2020 - Present	Globalink Securities, Inc	Registered Representative	Y	Pasadena, CA, United States
02/2020 - Present	Transglobal Insurance Agency, Inc.	Fixed Insurance Agent/Producer	N	Monrovia, CA, United States
05/2011 - Present	FORD MOTOR COMPANY	ENGINEER	N	CANTON, MI, United States
03/2020 - 01/2023	Pan's Financial, Inc.	Vice President	N	Canton, MI, United States
03/2018 - 01/2020	TRANSAMERICA FINANCIAL ADVISORS, INC	REGISTERED REPRESENTATIVE	Y	GLENVIEW, IL, United States
01/2017 - 01/2020	WORLD FINANCIAL GROUP, INC.	ASSOCIATE	N	GLENVIEW, IL, 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. FORD MOTOR COMPANY/Investment Related - No/2101 Village Rd, Dearborn, MI 48187, USA; Tel: 313-573-4259/Automotive/Engineer/5.2011/160/0/Research and Development, salary based. Not securities related.

Registration and Employment History



Other Business Activities, continued

2. Transglobal Insurance Agency, Inc, Monrovia, CA 91016, Fixed Insurance Producer from 02/2020, sell fixed insurance products, 40 hours per each month, commission based. Not securities related.
 3. Transglobal Advisor, LLC, Monrovia, CA 91016, Investment Advisor Representative from 03/2022, sell fee-based investment products, 5 hours per month, fee-based structure payout. Securities related business.
 4. Jack Schroeder and Associates (JSA), LLC, Canton, MI, Health Insurance Agent from 07/28/2020, 5 hours per month, commission based. Not securities related.
 5. Rick Young Insurance, Canton, MI, Health Insurance Agent from 08/27/2020, 20 hours per month, commission based. Not securities related.
 6. Globalink Securities, Inc, Registered Representative.
 7. Agent; Pan's Financial Inc; Investment Related No; 45719 Hanford Rd Canton MI 48187; This is an agency who sells fixed indexed annuities, fixed life insurance, and health insurance.; Sells fixed indexed annuities, fixed life insurance, and health insurance.; 2024-03-01; Hours per month devoted to business during trading hours: 0; Hours per month devoted to business outside trading hours: 15; Percentage of total yearly compensation expected to be derived from the business: 10;
-



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.
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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
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: 12/16/2022

Docket/Case Number: [2022073732001](#)

Employing firm when activity occurred which led to the regulatory action: GLOBALINK SECURITIES, INC.

Product Type: Annuity-Fixed
Insurance

Allegations: Without admitting or denying the findings, Rong consented to the sanctions and to the entry of findings that he participated in an outside business activity (OBA) without providing prior written notice to his member firm. The findings stated that Rong and his wife formed a company for the purpose of selling insurance and fixed annuities. Rong earned compensation totaling approximately \$168,000 from his activities with the company, including an annual salary and distributions of commission payments. Rong failed to provide prior written notice to the firm of his activities with the company and did not disclose this OBA to the firm until after receiving a written inquiry from FINRA regarding his activities with the company.

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: 12/16/2022

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

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?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	Two Months
Start Date:	01/17/2023
End Date:	03/16/2023



Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 12/21/2022

Was any portion of penalty waived? No

Amount Waived:

Reporting Source: Broker

Regulatory Action Initiated By: FINRA

Sanction(s) Sought:

Date Initiated: 12/16/2022

Docket/Case Number: [2022073732001](#)

Employing firm when activity occurred which led to the regulatory action: Globalink Securities, Inc.

Product Type: Annuity-Fixed Insurance

Allegations: Without admitting or denying the findings, Rong consented to the sanctions and to the entry of findings that he participated in an outside business activity (OBA) without providing prior written notice to his member firm. The findings stated that Rong and his wife formed a company for the purpose of selling insurance and fixed annuities. Rong earned compensation totaling \$168,000 from his activities with the company, including an annual salary and distributions of commission payments. Rong failed to provide prior written notice to the firm of his activities with the company and did not disclose this OBA to the firm until after receiving a written inquiry from FINRA regarding his activities with the company.

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: 12/16/2022

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: General Securities Principal, Financial Operations Principal, All Capacities

Duration: 2 months

Start Date: 01/17/2023

End Date: 03/16/2023

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current: Yes

Date Paid by individual: 12/14/2022

Was any portion of penalty waived? No

Amount Waived:

End of Report



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