BrokerCheck Report

VINH QUANG TRAN

CRD# 7149386

Section Title	Page(s)
Report Summary	1
Broker Qualifications	2 - 6
Registration and Employment History	8 - 9

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.
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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.

VINH Q. TRAN

CRD# 7149386

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

WISDOMTREE SECURITIES, INC.
250 West 34th Street
3rd Floor
New York, NY 10119
CRD# 317624
Registered with this firm since: 10/17/2024

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
- 51 U.S. states and territories

This broker has passed:

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

Registration History

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

J.P. MORGAN INSTITUTIONAL INVESTMENTS INC.
CRD# 102920
New York, NY
02/2022 - 07/2024

J.P. MORGAN SECURITIES LLC
CRD# 79
New York, NY
08/2019 - 01/2022

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**

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

Employment 1 of 1

Firm Name: **WISDOMTREE SECURITIES, INC.**

Main Office Address: **250 WEST 34TH STREET**
3RD FLOOR
NEW YORK, NY 10119

Firm CRD#: **317624**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	10/17/2024

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	01/08/2026
B	Alaska	Agent	Approved	01/08/2026
B	Arizona	Agent	Approved	01/08/2026
B	Arkansas	Agent	Approved	01/08/2026
B	California	Agent	Approved	01/08/2026
B	Colorado	Agent	Approved	01/08/2026
B	Connecticut	Agent	Approved	01/08/2026
B	Delaware	Agent	Approved	01/08/2026
B	District of Columbia	Agent	Approved	01/08/2026
B	Florida	Agent	Approved	01/08/2026
B	Georgia	Agent	Approved	01/08/2026
B	Hawaii	Agent	Approved	01/08/2026

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Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Idaho	Agent	Approved	01/08/2026
B	Illinois	Agent	Approved	01/08/2026
B	Indiana	Agent	Approved	01/08/2026
B	Iowa	Agent	Approved	01/08/2026
B	Kansas	Agent	Approved	01/08/2026
B	Kentucky	Agent	Approved	01/08/2026
B	Louisiana	Agent	Approved	01/08/2026
B	Maine	Agent	Approved	01/08/2026
B	Maryland	Agent	Approved	01/08/2026
B	Massachusetts	Agent	Approved	01/08/2026
B	Michigan	Agent	Approved	01/08/2026
B	Minnesota	Agent	Approved	01/08/2026
B	Mississippi	Agent	Approved	01/08/2026
B	Missouri	Agent	Approved	01/08/2026
B	Montana	Agent	Approved	01/08/2026
B	Nebraska	Agent	Approved	01/08/2026
B	Nevada	Agent	Approved	01/08/2026
B	New Hampshire	Agent	Approved	01/08/2026
B	New Jersey	Agent	Approved	01/08/2026
B	New Mexico	Agent	Approved	01/08/2026
B	New York	Agent	Approved	10/17/2024

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Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	North Carolina	Agent	Approved	01/08/2026
B	North Dakota	Agent	Approved	01/08/2026
B	Ohio	Agent	Approved	01/08/2026
B	Oklahoma	Agent	Approved	01/08/2026
B	Oregon	Agent	Approved	01/08/2026
B	Pennsylvania	Agent	Approved	01/08/2026
B	Rhode Island	Agent	Approved	01/08/2026
B	South Carolina	Agent	Approved	01/08/2026
B	South Dakota	Agent	Approved	01/08/2026
B	Tennessee	Agent	Approved	01/08/2026
B	Texas	Agent	Approved	01/08/2026
B	Utah	Agent	Approved	01/08/2026
B	Vermont	Agent	Approved	01/08/2026
B	Virginia	Agent	Approved	01/08/2026
B	Washington	Agent	Approved	01/08/2026
B	West Virginia	Agent	Approved	01/08/2026
B	Wisconsin	Agent	Approved	01/08/2026
B	Wyoming	Agent	Approved	01/08/2026

Branch Office Locations

WISDOMTREE SECURITIES, INC.
250 WEST 34TH STREET

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Broker Qualifications

Employment 1 of 1, continued

3RD FLOOR
NEW YORK, NY 10119

WISDOMTREE SECURITIES, INC.
250 West 34th Street
3rd Floor
New York, NY 10119

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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 0 principal/supervisory exams, 2 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	08/13/2019
B	Securities Industry Essentials Examination	SIE	08/06/2019

State Securities Law Exams

Exam		Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	08/26/2019

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/.

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Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 02/2022 - 07/2024	J.P. MORGAN INSTITUTIONAL INVESTMENTS INC.	102920	New York, NY
B 08/2019 - 01/2022	J.P. MORGAN SECURITIES LLC	79	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
08/2024 - Present	WisdomTree Securities, Inc.	Registered Representative	Y	New York, NY, United States
02/2022 - 07/2024	J.P. MORGAN INSTITUTIONAL INVESTMENTS INC.	AWM Program Analyst	Y	New York, NY, United States
02/2022 - 07/2024	J.P. MORGAN INVESTMENT MANAGEMENT INC.	AWM Program Analyst	Y	New York, NY, United States
07/2019 - 01/2022	JPMORGAN CHASE BANK, N.A.	ANALYST	Y	NEW YORK, NY, United States
07/2019 - 01/2022	JPMORGAN SECURITIES, LLC.	ANALYST	Y	NEW YORK, NY, United States
05/2018 - 06/2019	J.P. Morgan & Chase	Private Banking Analyst	Y	New York City, NY, United States
08/2016 - 05/2019	Boston College Information Technology Services	Student Technology Consultant	N	Chestnut Hill, MA, United States
05/2017 - 08/2017	Boston College First Year Experience	Orientation Leader	N	Chestnut Hill, MA, United States

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Registration and Employment History

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) I am employed by WisdomTree Digital Movement, Inc. and work congruently on matters involving both WisdomTree Digital Movement, Inc. and WisdomTree Securities, Inc. as they are the two legal entities representing the functions in the WisdomTree Prime app. The WisdomTree Prime app is a financial services app that provides users with access to tokenized assets and digital mutual funds that help users save, spend and invest. Both WisdomTree Digital Movement, Inc. and WisdomTree Securities, Inc. are under common ownership of WisdomTree, Inc., a publicly traded company. From time to time, I may be asked to participate in activities for WisdomTree, Inc. and other entities under common control. Other entities include WisdomTree Asset Management, Inc., WisdomTree Digital Management, Inc., and WisdomTree Digital Commodity Services, Inc.
2) Zero Latency - New York; Not Investment-Related; zerolatencyvr.com; Consultant; Business Consulting; Provide strategic advice on business operations and expansion goals; Since 11/15/2020; Up to 10 hrs/month.
3) Vinh Tran; Buffalo, NY; Investment-Related; Property Owner; Provide the operational guidance and financing to the property in coordination with a property manager who manages the day-to-day needs; Since 7/28/2020; Devote 5 hrs/month.
4) Irish Jones Holdings 1, LLC; Buffalo, NY; Investment-Related; Owner of Real Estate business; Acquire, own, hold, lease, develop, manage, sell, and / or deal with residential properties; Since 3/31/2022; Up to 10 hrs/month.
5) TranGlobal Commerce and Trade Inc.; Buffalo, NY; Not Investment-Related; Owner of firm that facilitates the trade of produce, raw materials and other commodities; Coordinate the establishment of relationships between suppliers, manufacterers and others; Since April, 2024; Up to 8 hrs/month.

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End of Report

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