User Guidance

www.adviserinfo.sec.gov

IAPD Report

JAMES WONG

CRD# 1478596

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.

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

Report Summary

JAMES WONG (CRD# 1478596)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **04/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	INSIGHT ADVISORS, LLC	CRD# 168057	05/02/2018

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	PNC INVESTMENTS	129052	RED BANK, NJ	02/05/2016 - 03/09/2018
B	PNC INVESTMENTS	129052	RED BANK, NJ	02/02/2016 - 03/09/2018
IA	AMERIVEST INVESTMENT MANAGEMENT, LLC	111514	SHREWSBURY, NJ	07/27/2010 - 08/24/2015

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Termination	1

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **INSIGHT ADVISORS, LLC**

Main Address: 10 N. STATE STREET
NEWTOWN, PA 18940

Firm ID#: 168057

	Regulator	Registration	Status	Date
IA	Pennsylvania	Investment Adviser Representative	Approved	05/02/2018

Branch Office Locations

INSIGHT ADVISORS, LLC
10 N State St.
Newtown, PA 18940

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	02/22/2000
B	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	08/29/1996

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	03/09/2018
B	General Securities Representative Examination (S7)	Series 7	10/20/1999
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/16/1986

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/28/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/18/1986

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Consultant

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 & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	02/05/2016 - 03/09/2018	PNC INVESTMENTS	CRD# 129052	RED BANK, NJ
B	02/02/2016 - 03/09/2018	PNC INVESTMENTS	CRD# 129052	RED BANK, NJ
IA	07/27/2010 - 08/24/2015	AMERIVEST INVESTMENT MANAGEMENT, LLC	CRD# 111514	SHREWSBURY, NJ
IA	07/27/2010 - 08/24/2015	TD AMERITRADE, INC.	CRD# 7870	SHREWSBURY, NJ
B	07/20/2010 - 08/24/2015	TD AMERITRADE, INC.	CRD# 7870	SHREWSBURY, NJ
B	11/10/2008 - 04/22/2009	FORTUNE FINANCIAL SERVICES, INC.	CRD# 42150	HOLMDEL, NJ
IA	04/19/2007 - 10/21/2008	MUTUAL MODELING ASSOCIATES, INC.	CRD# 131698	KEANSBURG, NJ
IA	12/16/2005 - 12/31/2006	INNOVATIVE MARKET TRENDS	CRD# 20626	HOLMDEL, NJ
B	09/19/2005 - 12/31/2006	TFS SECURITIES, INC.	CRD# 20626	LINCROFT, NJ
B	08/23/2001 - 09/14/2005	ALLSTATE FINANCIAL SERVICES, LLC	CRD# 18272	LINCOLN, NE
B	07/14/2000 - 08/09/2001	LOCUST STREET SECURITIES, INC.	CRD# 1703	DES MOINES, IA
B	07/17/1986 - 07/14/2000	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	07/17/1986 - 01/05/2000	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	NEW YORK, NY

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2018 - Present	Insight Advisors, LLC	Investment Adviser Representative	Y	Newtown, PA, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2015 - 03/2018	PNC BANK, N.A.	FINANCIAL ADVISOR	N	EATONTOWN, NJ, United States
12/2015 - 03/2018	PNC INVESTMENT LLC	FINANCIAL ADVISOR	Y	EATONTOWN, NJ, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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.

INSURANCE LICENSE
POSITION: NONE NATURE: INSURANCE INVESTMENT RELATED: NO NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 06/03/1996
ADDRESS: 8 FIELD POINT DRIVE, HOLMDEL NJ 07733
DESCRIPTION: NONE- HOLD MY LIFE/HEALTH INSURANCE LICENSE FOR 28 YEARS. COLLECT RESIDUALS FROM PAST BUSINESS BEFORE TDA

THE ATLANTIC CLUB
POSITION: TENNIS PRO NATURE: TENNIS(PRO)INSTRUCTOR- WEEKENDS ONLY WHEN NEEDED.   THE ATLANTIC CLUB, MANASQUAN, NJ INVESTMENT RELATED: NO NUMBER OF HOURS: 16 SECURITIES TRADING HOURS: 0 START DATE: 05/05/2008
ADDRESS: 1904 ATLANTIC AVE, MANASQUAN NJ 08736
DESCRIPTION: PROVIDE PRIVATE AND GROUP LESSONS TO INDIVIDUALS FOR TENNIS

CRUMP LIFE INSURANCE, 4135 NORTH FRONT STREET, HARRISBURG, PA 17110, LIFE, LONG TERM CARE AND DISABILITY INSURANCE SALES AND MARKETING AGENT, NUMBER OF HOURS PER MONTH WILL VARY. SALES OF LIFE LONG-TERM CARE AND DISABILITY INSURANCE TO PNC INVESTMENT CUSTOMERS, TO INCLUDE VARIABLE AND TRADITIONAL PRODUCTS. THERE IS AN AGREEMENT BETWEEN CRUMP AND PNC INSURANCE SERVICES, LLC.

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	THE NATIONAL ASSOCIATION OF SECURITIES DEALERS
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	01/31/2000
Docket/Case Number:	C10000015
Employing firm when activity occurred which led to the regulatory action:	THE EQUATIABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES
Product Type:	Other
Other Product Type(s):	
Allegations:	NASD RULES 2110, IM-2110-1, AND 3050 - RESPONDENT WONG OPENED A PERSONAL SECURITIES ACCOUNT WITH AN EXECUTING MEMBER FIRM AND FAILED TO INFORM HIS MEMBER FIRM THAT HE HAD OPENED THE ACCOUNT, AND FAILED TO INFORM THE EXECUTING FIRM THAT HE WAS ASSOCIATED WITH A MEMBER FIRM; AND, PURCHASED SECURITIES IN AN INITIAL PUBLIC OFFERING "HOT ISSUE" THAT TRADED AT A PREMIUM IN THE IMMEDIATE AFTERMARKET, IN CONTRAVENTION OF THE NASD'S FREE-RIDING AND WITHHOLDING INTERPRETATION.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	01/31/2000

Sanctions Ordered:	Censure Monetary/Fine $2,000.00
Other Sanctions Ordered:	
Sanction Details:	CENSURED AND FINED $2000.

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD REGULATION, INC.
Sanction(s) Sought:	
Date Initiated:	05/12/1998
Docket/Case Number:	C10000015
Employing firm when activity occurred which led to the regulatory action:	EQUITIABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES
Product Type:	No Product
Allegations:	I FAILED TO INFORM EQUITABLE THAT I HAD OPENED AN ACCOUNT WITH ANOTHER BROKER/DEALER. I PURCHASED AN "IPO" THROUGH MY PERSONAL ACCOUNT, SOLICITED BY MY BROKER.
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?	Yes
Resolution Date:	01/31/2000
Sanctions Ordered:	Censure

Monetary Sanction 1 of 1

Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	$2,000.00
Portion Levied against individual:	$0.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	

Broker Statement	MY PREVIOUS PERSONAL ACCOUNTS WERE ALWAYS DISCLOSED TO MY EMPLOYER, EXCEPT FOR THIS ONE INSTANCE. nothing to do with clients. my personal account i opened by mistake. MY BROKER KNEW I WAS A REGISTERED REP. AND THAT I WORK FOR THE EQUITABLE WHEN I OPENED MY ACCOUNT, SINCE HIS FATHER WAS A CLIENT OF MINE. THE IPO PURCHASED WAS SOLICITED BY MY BROKER AND ONCE I REALIZED BY ERROR IN ACCEPTING THE PURCHASE, I CANCELLED THE TRADE AND INFORMED BY PRINCIPAL. THERE WAS NO GAIN OR LOSS FROM THIS TRANSACTION.

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	PNCI
Termination Type:	Discharged
Termination Date:	02/09/2018
Allegations:	Registered Representative was terminated for amending a customer form in violation of the firm's Customer Signature Policy
Product Type:	Annuity-Fixed Annuity-Variable

Reporting Source:	Individual
Firm Name:	PNCI
Termination Type:	Discharged
Termination Date:	02/09/2018
Allegations:	Registered Representative was terminated for amending a customer form in violation of the firm's Customer Signature Policy
Product Type:	No Product
Broker Statement	Mr. Wong checked off a box for a client that was left blank on an application by updating the beneficiary from 33% to 34 % since the carrier did not accept odd percentages. Mr. Wong called the client to ask which beneficiary he wished to increase 1% and received verbal confirmation, however then updated the application without client obtaining client initials.

End of Report

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