



IAPD Report

JONG SOOK OH

CRD# 1548591

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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.



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

JONG SOOK OH (CRD# 1548591)

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 **06/29/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	02/14/2023
IA	PRIVATE ADVISOR GROUP, LLC	CRD# 155216	06/26/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **29** 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	MARINER ADVISOR NETWORK	283824	Blue Bell, PA	02/16/2023 - 06/26/2026
IA	FSC SECURITIES CORPORATION	7461	BLUE BELL, PA	07/27/2012 - 02/16/2023
B	FSC SECURITIES CORPORATION	7461	BLUE BELL, PA	10/19/2000 - 02/16/2023

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
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 **29** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **PRIVATE ADVISOR GROUP, LLC**
Main Address: 305 MADISON AVENUE
MORRISTOWN, NJ 07960
Firm ID#: 155216

	Regulator	Registration	Status	Date
IA	Pennsylvania	Investment Adviser Representative	Approved	06/26/2026
IA	Texas	Investment Adviser Representative	Restricted Approval	06/26/2026

Branch Office Locations

PRIVATE ADVISOR GROUP, LLC
725 Skippack Pike Ste 200
Blue Bell, PA 19422

Employment 2 of 2

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	02/14/2023
B	Arizona	Agent	Approved	02/14/2023
B	California	Agent	Approved	02/14/2023
B	Colorado	Agent	Approved	02/14/2023
B	Connecticut	Agent	Approved	02/14/2023



Qualifications

	Regulator	Registration	Status	Date
B	Delaware	Agent	Approved	02/16/2023
B	Florida	Agent	Approved	02/14/2023
B	Georgia	Agent	Approved	02/14/2023
B	Hawaii	Agent	Approved	02/14/2023
B	Illinois	Agent	Approved	02/14/2023
B	Indiana	Agent	Approved	02/14/2023
B	Kentucky	Agent	Approved	02/14/2023
B	Maryland	Agent	Approved	02/14/2023
B	Massachusetts	Agent	Approved	02/14/2023
B	Michigan	Agent	Approved	02/14/2023
B	Minnesota	Agent	Approved	02/14/2023
B	Mississippi	Agent	Approved	04/13/2026
B	Missouri	Agent	Approved	02/14/2023
B	Nevada	Agent	Approved	02/14/2023
B	New Hampshire	Agent	Approved	08/14/2023
B	New Jersey	Agent	Approved	02/14/2023
B	New York	Agent	Approved	02/14/2023
B	North Carolina	Agent	Approved	02/17/2023
B	Ohio	Agent	Approved	02/14/2023



Qualifications

Regulator	Registration	Status	Date
B Oregon	Agent	Approved	02/14/2023
B Pennsylvania	Agent	Approved	02/14/2023
B Texas	Agent	Approved	02/14/2023
B Vermont	Agent	Approved	06/24/2024
B Virginia	Agent	Approved	02/14/2023
B Washington	Agent	Approved	02/14/2023

Branch Office Locations

LPL FINANCIAL LLC
725 SKIPPACK PIKE STE 200
BLUE BELL, PA 19422



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 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B Direct Participation Programs Representative Examination (S22)	Series 22	10/25/1990
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/11/1986

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	11/14/2011
B Uniform Securities Agent State Law Examination (S63)	Series 63	02/13/1987



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](#).



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	02/16/2023 - 06/26/2026	MARINER ADVISOR NETWORK	CRD# 283824	Blue Bell, PA
IA	07/27/2012 - 02/16/2023	FSC SECURITIES CORPORATION	CRD# 7461	BLUE BELL, PA
B	10/19/2000 - 02/16/2023	FSC SECURITIES CORPORATION	CRD# 7461	BLUE BELL, PA
B	10/04/2000 - 10/18/2000	NFP SECURITIES, INC.	CRD# 42046	AUSTIN, TX
B	09/12/1986 - 08/08/2000	NYLIFE SECURITIES INC.	CRD# 5167	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
06/2026 - Present	PRIVATE ADVISOR GROUP, LLC	Investment Advisor Representative	Y	MORRISTOWN, NJ, United States
02/2023 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	BLUE BELL, PA, United States
02/2023 - Present	MARINER INDEPENDENT ADVISOR NETWORK, LLC	Investment Adviser Representative	Y	Sacramento, CA, United States
10/2000 - 02/2023	FSC SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	ATLANTA, GA, 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.

- 1) 2/14/2023 - No Business Name - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Start Date - 1/1/2001 - 10 Hours Per Month/1 Hours During Securities Trading - Time Spent 10%
- 2) 2/14/2023 - JSO PARTNERS - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date - 1/1/2001 - 160 Hours Per Month/8 Hours During Securities Trading - Time Spent 10%
- 3) 04/17/2023 - Professional Insurance and Financial Services - Not Investment Related - At Reported Business Location(s) - Business Entity For Tax/Investment Purposes Only - Start Date 02/14/2023 - 100 Hours Per Month/4 Hours During Securities Trading
- 4) 05/22/2023 - Mariner Independent Advisor Network - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - Start Date 03/31/2023 - 160 Hours Per Month/ 160 Hours During Securities Trading - Time Spent 100% - I provide investment advisory services through Mariner Independent Advisor Network LLC an independent investment



Registration & Employment History



OTHER BUSINESS ACTIVITIES

advisor firm. I started this business activity in 5/2023. I expect to spend approximately 160 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, nature of its business, its owners and its services at <http://www.adviserinfo.sec.gov/IAPD>. This firm is separate and independent of LPL Financial



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
Termination	1

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:	Individual
Firm Name:	NEW YORK LIFE
Termination Type:	Discharged
Termination Date:	07/18/2000
Allegations:	I WAS TERMINATED BY NEW YORK LIFE ON THE ABOVE DATE BECAUSE I HAVE ACCEPTED CASH FROM CERTAIN CUSTOMERS AND MADE PAYMENT OF CUSTOMER OBLIGATIONS WITH MY CHECKS.
Product Type:	Insurance
Other Product Types:	WHOLE LIFE POLICIES-RENEWAL PREMIUMS
Broker Statement	DURING MY EARLIER YEARS IN NEW YORK LIFE, CURRENCY FOR PREM PAYMENT WAS ACCEPTED AND I SUBMITTED TO LOCAL BRANCH OFFICE. THEN LATER YEARS, BRANCH OFFICE STOPPED ACCEPTING CASH PREMIUM. THERE WERE A FEW OF MY CLOSE FRIENDS AND RELATIVES WHO STILL HANDED THESE RENEWAL PREMIUMS IN CASH. TO ACCOMODATE THEIR NEEDS, I MADE DEPOSITS TO MY BUSINESS ACCOUNTS AND SENT MY CHECKS TO NY LIFE ON THEIR BEHALF. I MADE COPIES OF ALL CHECKS AND ATTACHED THEM TO EACH CLIENT FILE.



End of Report

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