



IAPD Report

JONGSIK KIM

CRD# 1617686

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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

JONGSIK KIM (CRD# 1617686)

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 **01/12/2026**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|-----------|-----------------------------|------------|------------------|
| B | MML INVESTORS SERVICES, LLC | CRD# 10409 | 03/11/2008 |
| IA | MML INVESTORS SERVICES, LLC | CRD# 10409 | 03/26/2008 |

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **5** 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 | METLIFE SECURITIES INC. | 14251 | LOS ANGELES, CA | 03/27/2007 - 03/13/2008 |
| B | METLIFE SECURITIES INC. | 14251 | LOS ANGELES, CA | 09/12/2005 - 03/13/2008 |
| B | METROPOLITAN LIFE INSURANCE COMPANY 4095 | | LOS ANGELES, CA | 09/12/2005 - 07/09/2007 |

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 |
|------------------|-------|
| Customer Dispute | 3 |
| 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 5 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **MML INVESTORS SERVICES, LLC**
Main Address: 1295 STATE STREET
SPRINGFIELD, MA 01111-0001
Firm ID#: 10409

| Regulator | Registration | Status | Date |
|----------------------|-----------------------------------|---------------------|------------|
| B FINRA | General Securities Representative | Approved | 03/11/2008 |
| B California | Agent | Approved | 03/11/2008 |
| IA California | Investment Adviser Representative | Approved | 03/26/2008 |
| B Nevada | Agent | Approved | 09/29/2021 |
| B New York | Agent | Approved | 03/06/2015 |
| B Oregon | Agent | Approved | 01/29/2026 |
| B Texas | Agent | Approved | 08/11/2021 |
| IA Texas | Investment Adviser Representative | Restricted Approval | 08/12/2021 |

Branch Office Locations

MML INVESTORS SERVICES, LLC
3700 W Wilshire Blvd
Suite 570
Los Angeles, CA 90010



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, 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 |
|------|----------|------|
|------|----------|------|

| | | |
|--------------------------------------------------|-----|------------|
| Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
|--------------------------------------------------|-----|------------|

| | | |
|----------------------------------------------------|----------|------------|
| General Securities Representative Examination (S7) | Series 7 | 06/20/1991 |
|----------------------------------------------------|----------|------------|

State Securities Law Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

| | | |
|------------------------------------------------------|-----------|------------|
| Uniform Securities Agent State Law Examination (S63) | Series 63 | 06/26/1991 |
|------------------------------------------------------|-----------|------------|

PROFESSIONAL DESIGNATIONS

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

No information reported.



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 | 03/27/2007 - 03/13/2008 | METLIFE SECURITIES INC. | CRD# 14251 | LOS ANGELES, CA |
| B | 09/12/2005 - 03/13/2008 | METLIFE SECURITIES INC. | CRD# 14251 | LOS ANGELES, CA |
| B | 09/12/2005 - 07/09/2007 | METROPOLITAN LIFE INSURANCE COMPANY | CRD# 4095 | LOS ANGELES, CA |
| B | 04/11/2003 - 09/14/2005 | MML INVESTORS SERVICES, INC. | CRD# 10409 | SPRINGFIELD, MA |
| B | 10/13/1999 - 07/09/2002 | METLIFE SECURITIES INC. | CRD# 14251 | SPRINGFIELD, MA |
| B | 10/13/1999 - 07/09/2002 | METROPOLITAN LIFE INSURANCE COMPANY | CRD# 4095 | NEW YORK, NY |
| B | 06/21/1991 - 06/11/1999 | 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 |
|-------------------|------------------------------|---------------------------|--------------------|--------------------------------|
| 03/2008 - Present | MML INVESTORS SERVICES, LLC | REGISTERED REPRESENTATIVE | Y | LOS ANGELES, CA, United States |
| 02/2008 - Present | MASSMUTUAL LIFE INSURANCE CO | AGENT | Y | LOS ANGELES, CA, 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.

NAME: JONGSIK KIM INV REL: Y ADD: 3530 WILSHIRE BLVD SUITE 1050, LOS ANGELES, CA 90010 NATURE: INSURANCE POSITION: AGENT START DATE: 03/1983 NO. HR/MO: 1 NO. HR/MO DURING SEC TRADING: 0 (2) NAME: JONGSIK KIM INV REL: Y ADD: 3429 W OLYMPIC BLVD UNIT 502 LOS ANGELES CA 90019 & SEO CHO 60 50-5 SHIN BAN PO APT 325 -1107 SEOUL KOREA NATURE: CONDO RENTAL INCOME POSITION: OWNER START DATE: 8/8/2014 NO HRS/MO: 0 NO HRS/MO DUR TRADING: 0 DUTIES: OWN A CONDOMINIUM AND RENT WITH THE TENANT.



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 |
|------------------|-------|
| Customer Dispute | 3 |
| Termination | 1 |

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MML INVESTORS SERVICES, LLC

Allegations: The complainant alleges that, beginning in 2014, the rep was involved in a matter where her signatures were forged and her annuity was surrendered without her consent.

Product Type: Annuity-Variable

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): The Firm has been unable to determine that potential damages from the alleged activity would be under \$5,000.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 03/10/2023

Complaint Pending? No

Status: Denied



Status Date: 06/29/2023

Settlement Amount:

Individual Contribution Amount:

Broker Statement Internal case #202303310256. This matter relates to lawsuits that were previously reported on the U4 (case numbers 20STCV24343 and 21STCV18489).

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: NYLIFE SECURITIES INC.

Allegations: CLAIMANT, BY HER ATTORNEY, HAS COMMENCED AN NASD ARBITRATION AGAINST MR. KIM AND NEW YORK LIFE INSURANCE COMPANY. THE STATEMENT OF CLAIM IN ARBITRATION ALLEGES THAT MR. KIM RECOMMENDED THAT THE CLAIMANT INVEST IN SHARES OF A PRE-PUBLIC STOCK OFFERING IN SATCOM MEDIA GROUP ("SATCOM"). THE CLAIMANT FURTHER ALLEGES THAT SATCOM FAILED SHORTLY THEREAFTER, AND THE CLAIMANT LOST \$57,500.

Product Type: Other

Alleged Damages: \$57,500.00

Customer Complaint Information

Date Complaint Received: 06/20/2000

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 06/20/2000

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NUMBER 00-02204

Date Notice/Process Served: 06/16/2000

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/04/2001

Monetary Compensation Amount: \$250,000.00

Individual Contribution Amount: \$0.00

Firm Statement THE CLAIMANT IN THIS ARBITRATION IS JOINED BY SIX OTHER INDIVIDUAL INVESTORS IN SATCOM. THESE SIX INDIVIDUALS, BY THEIR ATTORNEY, HAD PREVIOUSLY MADE A WRITTEN COMPLAINT TO NEW YORK LIFE REGARDING MR. KIM. THAT COMPLAINT WAS DISCLOSED IN A PREVIOUSLY



FILED AMENDMENT TO MR. KIM'S FORM U-5. AFTER COMMENCEMENT OF THE ARBITRATION PROCEEDING AND DURING MEDIATION, THE CLAIMANTS AGREED TO SETTLE THEIR CLAIMS AGAINST NYLSEC FOR \$250,000. THE CLAIMANTS CONTINUED THE ARBITRATION PROCEEDING AGAINST KIM. DURING THE ARBITRATION HEARING THE CLAIMANTS AGREED TO SETTLE THEIR CLAIMS AGAINST KIM FOR \$50,000, PAYABLE IN QUARTERLY INSTALLMENTS OVER A TWO YEAR PERIOD.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NYLIFE SECURITIES, INC.

Allegations: CLAIMANT BY HER ATTORNEY HAS COMMENCED AN NASD ARBITRATION AGAINST MR. KIM AND NYLIFE. THE STATEMENT OF CLAIM IN ARBITRATION ALLEGES THAT MR. KIM RECOMMENDED THAT THE CLAIMANT INVEST IN SHARES OF A PRE-PUBLIC STOCK OFFERING IN SATCOM MEDIA GROUP. THE CLAIMANT FURTHER ALLEGES THAT SATCOM FAILED SHORTLY THEREAFTER AND CLAIMANT LOST \$57,500.

Product Type: Other

Other Product Type(s): PRE-PUBLIC STOCK

Alleged Damages: \$57,500.00

Customer Complaint Information

Date Complaint Received: 06/20/2000

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 06/20/2000

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NUMBER 00-02204

Date Notice/Process Served: 06/16/2000

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/04/2001

Monetary Compensation Amount: \$250,000.00

Individual Contribution Amount: \$0.00

Disclosure 3 of 3

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: NYLIFE SECURITIES, INC.

Allegations: [ATTORNEY] ON BEHALF OF THE [CUSTOMER] GROUP ALLEGES THAT UPON MR. KIM'S RECOMMENDATION, THEY PURCHASED SHARES OF A PRE-PUBLIC STOCK OFFERING IN A COMPANY CALLED, SATCOM MEDIA CORPORATION ("SATCOM").. THE [CUSTOMER] GROUP FURTHER ALLEGES THAT MR. KIM "VIOLATED HIS FIDUCIARY DUTY" TO THEM, IN SUCH THAT "THROUGH NYLIFE'S OFFICES. KIM (L) EXERCISED CONTROL OVER HIS CLIENTS AND INFLUENCED THEM TO INVEST IN SATCOM." THE [CUSTOMERS], [OTHER CUSTOMERS NAMED], [OTHER CUSTOMERS NAMED] AND [OTHER CUSTOMER NAMED] EACH INVESTED \$115,000, \$57,500, \$57,500 AND \$57,500 RESPECTIVELY IN SATCOM AND \$500,000 IN PUNITIVE DAMAGES. THE [CUSTOMER] GROUP IS SEEKING TO RECOUP THEIR MONIES INVESTED IN SATCOM AND \$500,000 IN PUNITIVE DAMAGES.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$402,500.00

Customer Complaint Information

Date Complaint Received: 02/04/1999

Complaint Pending? No

Status: Arbitration/Reparation
Denied

Status Date: 04/27/1999

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NUMBER 00-02204

Date Notice/Process Served: 06/16/2000

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/04/2001

Monetary Compensation Amount: \$250,000.00

Individual Contribution Amount: \$0.00

Firm Statement AFTER COMMENCEMENT OF THE ARBITRATION PROCEEDING AND DURING MEDIATION, THE CLAIMANTS AGREED TO SETTLE THEIR CLAIMS AGAINST NYLSEC FOR \$250,000. THE CLAIMANTS CONTINUED THE ARBITRATION PROCEEDING AGAINST KIM. DURING THE ARBITRATION HEARING THE CLAIMANTS AGREED TO SETTLE THEIR CLAIMS AGAINST KIM FOR \$50,000, PAYABLE IN QUARTERLY INSTALLMENTS OVER A TWO YEAR PERIOD.

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: NYLIFE SECURITIES, INC

Allegations: INTRODUCING INVESTMENT IN AN UNSUCCESSFUL BUSINESS.

Product Type: Other

Other Product Type(s): PRIVATE INVESTMENT OFFERING SHARES

Alleged Damages: \$230,000.00

Customer Complaint Information

Date Complaint Received: 02/04/1999

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 04/27/1999

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE # 00-02204

Date Notice/Process Served: 06/16/2000

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/04/2001

Monetary Compensation Amount: \$250,000.00

Individual Contribution Amount: \$0.00



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: | NYLIFE SECURITIES, INC. |
| Termination Type: | Discharged |
| Termination Date: | 05/13/1999 |
| Allegations: | THROUGH THEIR ATTORNEY SIX INDIVIDUALS(AHN'S GROUP) ALLEGED THAT THEY HAVE INVESTED \$230,000 IN SHARES OF SATCOM MEDIA CORPORATION AND MR. JONGSIK KIM HAD BEEN INVOLVED IN THE SALE. INTRODUCING INVESTMENT IN AN UNSUCCESSFUL BUSINESS. |
| Product Type: | Other |
| Other Product Types: | PRIVATE INVESTMENT OFFERING SHARES |
| Broker Statement | THE NYLIFE SECURITIES, INC. REVIEWED THE AHN GROUP'S ALLEGATIONS. AS A RESULT NO SUFFICIENT EVIDENCE WAS FOUND TO SUBSTANTIATE THE AHN GROUP'S CLAIM. AS SUCH, NO OFFER WAS MADE AND THE NYLIFE SECURITIES INC. CONSIDERS THE MATTER CLOSED. I WAS ADVISED THAT I HAVE BEEN TERMINATED AS OF 05/13/1999. |



End of Report

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