



IAPD Report

Kyongjin Lee

CRD# 2178866

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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

Kyongjin Lee (CRD# 2178866)

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 **11/29/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	MAINSTREAM CAPITAL MANAGEMENT	CRD# 297145	03/10/2022
B	STONEHAVEN, LLC	CRD# 118913	07/14/2023

QUALIFICATIONS

This representative is currently registered in **1** 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	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	LOS ANGELES, CA	01/02/2009 - 07/09/2021
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	LOS ANGELES, CA	06/02/2006 - 07/09/2021
IA	RAYMOND JAMES FINANCIAL SERVICES	6694	LOS ANGELES, CA	06/02/2006 - 01/02/2009

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	1
Judgment/Lien	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 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **STONEHAVEN, LLC**
Main Address: 600 FIFTH AVENUE
2ND FLOOR
NEW YORK, NY 10020
Firm ID#: 118913

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	07/14/2023
B FINRA	General Securities Representative	Approved	07/14/2023
B California	Agent	Approved	07/18/2023

Branch Office Locations

3435 Wilshire Blvd
Suite 1103
Los Angeles, CA 90010

Employment 2 of 2

Firm Name: **MAINSTREAM CAPITAL MANAGEMENT**
Main Address: 3435 WILSHIRE BLVD
1100
LOS ANGELES, CA 90010
Firm ID#: 297145

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	03/10/2022

Branch Office Locations

MAINSTREAM CAPITAL MANAGEMENT
3435 WILSHIRE BLVD
1100



Qualifications

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

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	07/14/2023

General Industry/Product Exams

	Exam	Category	Date
	General Securities Representative Examination (S7TO)	Series 7TO	07/14/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	06/19/1992

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	03/24/2000
	Uniform Securities Agent State Law Examination (S63)	Series 63	06/26/1992

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	01/02/2009 - 07/09/2021	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	LOS ANGELES, CA
B	06/02/2006 - 07/09/2021	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	LOS ANGELES, CA
IA	06/02/2006 - 01/02/2009	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	LOS ANGELES, CA
IA	05/15/2001 - 06/05/2006	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	LOS ANGELES, CA
B	04/25/2001 - 06/05/2006	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	LOS ANGELES, CA
B	11/07/2000 - 01/23/2001	NEUBERGER BERMAN MANAGEMENT INC.	CRD# 5493	NEW YORK, NY
B	10/11/1999 - 01/23/2001	NEUBERGER BERMAN, LLC	CRD# 2908	NEW YORK, NY
B	02/19/1998 - 12/21/1999	FIRST FUND DISTRIBUTORS, INC.	CRD# 27038	PHOENIX, AZ
B	07/03/1997 - 12/08/1997	BA INVESTMENT SERVICES, INC.	CRD# 12965	OAKLAND, CA
B	11/17/1994 - 06/19/1997	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	06/22/1992 - 04/06/1993	LEHMAN BROTHERS INC.	CRD# 7506	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
12/2021 - Present	11th Floor Holdings, LLC	Managing Director	Y	Los Angeles, CA, United States
04/2014 - Present	MAINSTREAM CAPITAL	AGENT	Y	LOS ANGELES, CA, United States
04/2014 - Present	Mainstream Capital Management	Managing Partner	Y	Los Angeles, CA, United States
10/2013 - Present	MAINSTREAM CAPITAL PARTNERS	SUPPORT COMPANY/DBA (OWNER)	N	LOS ANGELES, CA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2013 - Present	KEMOSABE CONSULTING	INDEPENDENT CONTRACTOR	Y	LOS ANGELES, CA, United States
12/2010 - Present	MAINSTREAM CAPITAL HOLDINGS (SHOEDAZZLE)	PARTNER	N	LOS ANGELES, CA, United States
09/2010 - Present	REAL ESTATE	OWNER/PROPRIETOR	N	LOS ANGELES, CA, United States
06/2010 - Present	MAINSTREAM CAPITAL PARTNERS	PROPRIETOR/OWNER	Y	LOS ANGELES, CA, United States
06/2006 - Present	UNITED STATES ARMY NATIONAL GUARD	MILITARY	N	LOS ALAMITOS, CA, United States
01/2009 - 07/2021	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	MASS TRANSFER	Y	LOS ANGELES, CA, United States
06/2006 - 07/2021	RAYMOND JAMES FINANCIAL SERVICES, INC.	FINANCIAL ADVISOR	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.

1. MAINSTREAM CAPITAL HOLDINGS (SHOEDAZZLE); not investment related; LOS ANGELES, CA. GENERAL PARTNER IN RETAIL SHOE BUSINESS. 12/08/2010; 0 HOURS/month, 0 hours/TRADING HOURS.
2. Mainstream Capital Management - LOS ANGELES, CA. OWNER - RENTING OUT OFFICE SPACE. STARTED 8/31/2010. 0 HOUR WEEKLY, 0 DURING TRADING HOURS. NOT INVESTMENT RELATED. 04/2014 TO PRESENT - NON-VARIABLE INSURANCE - APPOINTED AGENT - 1 HOUR PER MONTH - 1 HOUR DURING TRADING HOURS - INVESTMENT RELATED
3. UNITED STATES ARMY RESERVE- LOS ALAMITOS, CA - 06/2006 TO PRESENT - Rank: Major Exercise Observer/Controller After Action Review Commentator/Reviewer -0 HOURS PER MONTH - 0 HOURS DURING TRADING HOURS - NOT INVESTMENT RELATED
4. KEMOSABE CONSULTING - LOS ANGELES, CA. OPERATIONAL AND PHYSICAL SECURITY CONSULTANT. STARTED 1/2013 TO PRESENT. 0 HOURS WEEKLY, 0 DURING TRADING HOURS. NOT INVESTMENT RELATED. SECURITY CONSULTANT.
5. Yalu River Partners LLC; investment related; 3435 Wilshire Blvd., #1100, Los Angeles, CA; Investment holding company; Managing Partner; 2012; 1 hours/month; 0 hours/trading day; Manage the accounting and distribution of the underlying assets.
6. Osher Korean BBQ Partners; investment related; 3435 Wilshire Blvd, #1100, Los Angeles, CA; investment holding company; Managing Partner; 1/2020; 1 hour/month; 0 hours/trading d; manage the accounting and distribution of the underlying assets.
7. Mainstream Capital Group - Not Investment Related - Managing Partner - Support Company - Personal Corporation- approx 1 hour a month not during market trading hours.
8. 11th Floor Holdings, LLC - Investment Related - Managing Partner - sourcing and selling suitable private investment offerings to qualified investors - approx 20 hours per month - mostly during market trading hours.



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	1
Judgment/Lien	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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WELLS FARGO INVESTMENTS, LLC.
Allegations:	SUITABILITY OF WELLSCHOICE AND MARGIN ACCOUNT
Product Type:	Other
Other Product Type(s):	WRAP ACCOUNT
Alleged Damages:	\$15,000.00

Customer Complaint Information

Date Complaint Received:	10/06/2006
Complaint Pending?	No
Status:	Settled
Status Date:	11/29/2006
Settlement Amount:	\$4,421.13
Individual Contribution Amount:	\$0.00

Reporting Source:	Individual
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Employing firm when activities occurred which led to the complaint: WELLS FARGO INVESTMENTS, LLC.

Allegations: SUITABILITY OF WELLS CHOICE AND MARGIN ACCOUNT

Product Type: Other

Other Product Type(s): WRAP ACCOUNT

Alleged Damages: \$15,000.00

Customer Complaint Information

Date Complaint Received: 10/06/2006

Complaint Pending? No

Status: Settled

Status Date: 11/29/2006

Settlement Amount: \$4,421.13

Individual Contribution Amount: \$0.00



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source: Individual
Judgment/Lien Holder: MONTEREY PARK ANIMAL HOSPITAL
Judgment/Lien Amount: \$165.00
Judgment/Lien Type: Civil
Date Filed with Court: 08/04/1993
Date Individual Learned: 07/01/2018
Type of Court: State Court
Name of Court: ALHAMBRA MUNICIPAL COURT
Location of Court: LOS ANGELES COUNTY, CALIFORNIA
Docket/Case #: 93S01214
Judgment/Lien Outstanding? Yes

Broker Statement I made an attempt to pay the outstanding debt. It is unknown at this time who is the current holder of the debt and how to resolve this matter due to the length of time since this debt was incurred. My staff made numerous calls to the current animal hospital and they have no record of the transaction. At this time it is unresolved.



End of Report

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