



IAPD Report

JIMMY LEE

CRD# 2588186

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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

JIMMY LEE (CRD# 2588186)

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 **11/10/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	10/10/2014
IA	THE WEALTH CONSULTING GROUP	CRD# 173194	10/22/2014

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **53** 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	LPL FINANCIAL LLC	6413	LAS VEGAS, NV	04/01/2025 - 11/10/2025
IA	NEW ENGLAND SECURITIES CORPORATION	615	LAS VEGAS, NV	06/23/2008 - 11/07/2014
B	NEW ENGLAND SECURITIES	615	LAS VEGAS, NV	06/16/2008 - 11/07/2014

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	4



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

Employment 1 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	General Securities Principal	Approved	10/10/2014
B	FINRA	General Securities Representative	Approved	10/10/2014
B	FINRA	Invest. Co and Variable Contracts	Approved	10/10/2014
B	Alabama	Agent	Approved	11/19/2014
B	Alaska	Agent	Approved	10/29/2014
B	Arizona	Agent	Approved	11/20/2014
B	Arkansas	Agent	Approved	10/10/2014
B	California	Agent	Approved	10/10/2014
B	Colorado	Agent	Approved	10/10/2014
B	Connecticut	Agent	Approved	10/10/2014
B	Delaware	Agent	Approved	10/21/2014
B	District of Columbia	Agent	Approved	10/10/2014
B	Florida	Agent	Approved	10/10/2014



Qualifications

Regulator	Registration	Status	Date
B Georgia	Agent	Approved	10/14/2014
B Hawaii	Agent	Approved	01/28/2015
B Idaho	Agent	Approved	10/15/2014
B Illinois	Agent	Approved	10/14/2014
B Indiana	Agent	Approved	10/28/2014
B Iowa	Agent	Approved	10/10/2014
B Kansas	Agent	Approved	10/10/2014
B Kentucky	Agent	Approved	10/10/2014
B Louisiana	Agent	Approved	10/10/2014
B Maine	Agent	Approved	10/15/2014
B Maryland	Agent	Approved	10/10/2014
B Massachusetts	Agent	Approved	12/17/2014
B Michigan	Agent	Approved	10/10/2014
B Minnesota	Agent	Approved	10/10/2014
B Mississippi	Agent	Approved	10/10/2014
B Missouri	Agent	Approved	10/10/2014
B Montana	Agent	Approved	03/19/2015
B Nebraska	Agent	Approved	06/09/2017
B Nevada	Agent	Approved	10/10/2014



Qualifications

Regulator	Registration	Status	Date
B New Hampshire	Agent	Approved	10/10/2014
B New Jersey	Agent	Approved	10/10/2014
B New Mexico	Agent	Approved	10/10/2014
B New York	Agent	Approved	10/10/2014
B North Carolina	Agent	Approved	10/10/2014
B North Dakota	Agent	Approved	10/10/2014
B Ohio	Agent	Approved	11/25/2014
B Oklahoma	Agent	Approved	11/12/2014
B Oregon	Agent	Approved	10/10/2014
B Pennsylvania	Agent	Approved	10/10/2014
B Puerto Rico	Agent	Approved	11/28/2022
B Rhode Island	Agent	Approved	10/10/2014
B South Carolina	Agent	Approved	10/10/2014
B South Dakota	Agent	Approved	10/10/2014
B Tennessee	Agent	Approved	10/10/2014
B Texas	Agent	Approved	10/10/2014
B Utah	Agent	Approved	10/10/2014
B Vermont	Agent	Approved	10/10/2014
B Virgin Islands	Agent	Approved	11/18/2022



Qualifications

Regulator	Registration	Status	Date
B Virginia	Agent	Approved	10/10/2014
B Washington	Agent	Approved	10/10/2014
B West Virginia	Agent	Approved	10/10/2014
B Wisconsin	Agent	Approved	10/10/2014
B Wyoming	Agent	Approved	10/10/2014

Branch Office Locations

LPL FINANCIAL LLC
 8925 W. POST RD 2ND FLOOR
 LAS VEGAS, NV 89148

Employment 2 of 2

Firm Name: **THE WEALTH CONSULTING GROUP**
 Main Address: 8925 WEST POST ROAD
 2ND FLOOR
 LAS VEGAS, NV 89148
 Firm ID#: 173194

Regulator	Registration	Status	Date
IA Nevada	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026
IA Texas	Investment Adviser Representative	Restricted Approval	11/13/2014

Branch Office Locations

THE WEALTH CONSULTING GROUP
 8925 WEST POST ROAD
 2ND FLOOR
 LAS VEGAS, NV 89148



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	02/08/1999

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	02/28/1997
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/13/1995

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	02/14/1998
	Uniform Securities Agent State Law Examination (S63)	Series 63	04/13/1995

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	04/01/2025 - 11/10/2025	LPL FINANCIAL LLC	CRD# 6413	LAS VEGAS, NV
IA	06/23/2008 - 11/07/2014	NEW ENGLAND SECURITIES CORPORATION	CRD# 615	LAS VEGAS, NV
B	06/16/2008 - 11/07/2014	NEW ENGLAND SECURITIES	CRD# 615	LAS VEGAS, NV
IA	01/08/1998 - 07/03/2008	MML INVESTORS SERVICES, INC.	CRD# 10409	LAS VEGAS, NV
B	04/18/1995 - 07/03/2008	MML INVESTORS SERVICES, INC.	CRD# 10409	LAS VEGAS, NV

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
11/2014 - Present	THE WEALTH CONSULTING GROUP	INVESTMENT ADVISER REPRESENTATIVE	Y	LAS VEGAS, NV, United States
10/2014 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	LAS VEGAS, NV, United States
10/2014 - Present	WCG WEALTH ADVISORS, LLC	CEO, INVESTMENT ADVISER REPRESENTATIVE	Y	LAS VEGAS, NV, 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.

- 10/10/2014 - KAIZEN CONSULTANTS, LLC/ BUSINESS ENTITY FOR TAX PURPOSES ONLY/ 1%/ LAS VEGAS, NV
- 10/10/2014 - THE WEALTH CONSULTING GROUP/ DBA ONLY/ 100%/ LAS VEGAS, NV - Start date: 3/9/1995
- 10/10/2014 - FIXED INSURANCE SALES/ SALE OF NON-VARIABLE INSURANCE/ 10%/ LAS VEGAS, NV - Start date: 3/9/1995
- 11/25/2014: REGISTERED INVESTMENT ADVISOR DBA - WCG WEALTH ADVISORS, LLC - DBA: THE WEALTH CONSULTING GROUP - INVESTMENT RELATED - TIME SPENT 50% - LAS VEGAS, NV. - Start date: 11/25/2014



Registration & Employment History



OTHER BUSINESS ACTIVITIES

5. 11/25/2014: REGISTERED INVESTMENT ADVISOR HYBRID - WCG WEALTH ADVISORS, LLC - INVESTMENT RELATED - TIME SPENT 50% - LAS VEGAS, NV.
6. 11/1/2018 - WCG Insurance, LLC - Investment Related - At Reported Business Location(s) - Insurance Agency - Owner - Started 11/15/2010 - 1 Hour Per Month/0 Hours During Securities Trading
7. 03/07/2023 - No Business Name - Not Investment Related - At Reported Business Location(s) - Real Estate Rental - Start Date 03/01/2023 - 0 Hours Per Month/ 0 Hours During Securities Trading
8. 12/30/2024- The Bull of Wall Street- Other - Podcast- Not INV Related- At Reported Business Location(s)- Start date 11/11/2024- 2 Hours Per Month
9. 12/30/2024- WCG TX, LLC- Business Entity For Tax/Investment Purposes Only- Not INV Related- At Reported Business Location(s)- Start date 11/11/2024 - 0 Hours Per Month/ 0 Hours During Securities Trading
10. 08/20/2025 - Wealth CG Partners, LLC - Business Entity For Tax/Investment Purposes Only - Not INV Related- At Reported Business Location(s)- Start date 07/18/2025 - 0 Hours Per Month/ 0 Hours During Securities Trading



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	4

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 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MML INVESTORS SERVICES, LLC
Allegations:	COMPLAINANTS ALLEGE THAT IN 2007 THE PRODUCER SOLD THEM A LIFE INSURANCE POLICY THAT WAS INTENDED TO BE SOLD AS A LIFE SETTLEMENT FOR PROFIT, HOWEVER, A BUYER COULDN'T BE FOUND AND THE COMPLAINANTS LOST THEIR PREMIUM.
Product Type:	Insurance
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO SPECIFIC DAMAGE AMOUNT WAS ALLEGED AND THE FIRM WAS UNABLE TO MAKE A GOOD FAITH DETERMINATION THAT DAMAGES WOULD BE UNDER \$5000.

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Evolved into Civil litigation (the individual is a named party)
Status Date:	10/17/2011
Settlement Amount:	

Individual Contribution Amount:

Civil Litigation Information



Type of Court: Federal Court
Name of Court: DISTRICT COURT CLARK COUNTY NEVADA
Location of Court: CLARK COUNTY, NEVADA
Docket/Case #: A-11-649187
Date Notice/Process Served: 10/17/2011
Litigation Pending? No
Disposition: Settled
Disposition Date: 03/28/2013
Monetary Compensation Amount: \$250,000.00
Individual Contribution Amount: \$56,250.00
Firm Statement INTERNAL CASE #201115974.

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: MML INVESTORS SERVICES LLC
Allegations: COMPLAINANTS ALLEGE THAT IN 2007 THE PRODUCER SOLD THEM A LIFE INSURANCE POLICY THAT WAS INTENDED TO BE SOLD AS A LIFE SETTLEMENT FOR PROFIT, HOWEVER, A BUYER COULDN'T BE FOUND AND THE COMPLAINANTS LOST THEIR PREMIUM
Product Type: Insurance
Alleged Damages: \$0.00
Alleged Damages Amount Explanation (if amount not exact): NO SPECIFIC DAMAGE AMOUNT WAS ALLEGED AND THE FIRM WAS UNABLE TO MAKE A GOOD FAITH DETERMINATION THAT DAMAGES WOULD BE UNDER \$5000

Customer Complaint Information

Date Complaint Received:
Complaint Pending? No
Status: Evolved into Civil litigation (the individual is a named party)
Status Date: 10/17/2011
Settlement Amount:
Individual Contribution Amount:

Civil Litigation Information

Type of Court: Federal Court
Name of Court: DISTRICT COURT OCLARK COUNTY NEVADA
Location of Court: CLARK COUNTY NEVADA
Docket/Case #: A11649187
Date Notice/Process Served: 10/17/2011



Litigation Pending?	No
Disposition:	Settled
Disposition Date:	03/28/2013
Monetary Compensation Amount:	\$250,000.00
Individual Contribution Amount:	\$56,250.00
Broker Statement	INTERNAL CASE 201115974/REPS. PERSONAL CONTRIBUTION IS 10K. REP. WAS ONE OF 5 PARTIES TO THIS COMPLAINT AND WAS NOT INVOLVED IN THE OTHER PARTIES TRANSACTIONS WITH THE CUSTOMER. I VEHEMENTLY DENIED ALL ALLEGATIONS AGAINST ME BUT WAS ADVISED TO BE A PART OF THE TOTAL SETTLEMENT AND AS A RESULT THE CASE WAS DISMISSED WITH PREJUDICE WITH ALL PARTIES MUTUALLY SATISFIED.

Disclosure 2 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	NEW ENGLAND SECURITIES
Allegations:	CUSTOMERS ALLEGED THAT WHEN THEIR EXISTING ANNUITIES WITH ANOTHER FIRM WERE EXCHANGED FOR VARIABLE ANNUITIES, IN SEPTEMBER AND OCTOBER 2008, THE REPRESENTATIVE MISREPRESENTED THE AMOUNT OF SURRENDER CHARGES INCURRED ON THE PRIOR ANNUITIES. CUSTOMERS HAVE ALLEGED DAMAGES AS NOTED BELOW.
Product Type:	Annuity-Variable
Alleged Damages:	\$46,863.37
Alleged Damages Amount Explanation (if amount not exact):	PLUS INTEREST
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:	04/18/2011
Complaint Pending?	No
Status:	Denied
Status Date:	07/01/2011
Settlement Amount:	
Individual Contribution Amount:	



Disclosure 3 of 4

Reporting Source: Individual

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

Allegations: COMPLAINANTS STATE THAT THE REPS MISMANAGED THEIR ACCOUNTS AND ARE CONCERNED THAT SOME OF THE TRANSACTIONS WERE NOT APPROPRIATE. DAMAGES NOT SPECIFIED.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 10/29/2007

Complaint Pending? No

Status: Denied

Status Date: 12/20/2007

Settlement Amount:

Individual Contribution Amount:

Disclosure 4 of 4

Reporting Source: Individual

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

Allegations: CUSTOMER ALLEGED THAT THE PRODUCT RECOMMENDED BY THE RR IN MAY 2002 WAS UNSUITABLE BASED ON HER FINANCIAL NEEDS AND SITUATION

Product Type: Annuity(ies) - Variable

Alleged Damages: \$20,000.00

Customer Complaint Information

Date Complaint Received: 07/10/2002

Complaint Pending? No

Status: Denied

Status Date: 08/13/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE FIRM DID NOT FIND A BASIS TO SUBSTANTIATE THAT THE PRODUCT RECOMMENDED WAS UNSUITABLE FOR THE CUSTOMER'S FINANCIAL NEEDS AND SITUATION



End of Report

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