



IAPD Report

HOWARD HONG YE

CRD# 2639790

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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

HOWARD HONG YE (CRD# 2639790)

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 **02/09/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	SKY VISION WEALTH MANAGEMENT CORP.	CRD# 317320	06/22/2022
B	GT SECURITIES, INC.	CRD# 116012	03/25/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** 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
B	SINGPOLI WEALTH MANAGEMENT LLC	137889	Arcadia, CA	02/01/2017 - 03/31/2023
B	KEY WEST INVESTMENTS, LLC	149418	SAN GABRIEL, CA	03/03/2014 - 01/17/2017
B	MAIA SECURITIES, INC.	111394	YORBA LINDA, CA	09/04/2012 - 05/01/2013

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



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

Employment 1 of 2

Firm Name: **GT SECURITIES, INC.**
Main Address: 12130 MILLENNIUM DR
SUITE 300
LOS ANGELES, CA 90094
Firm ID#: 116012

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	03/25/2025
B FINRA	General Securities Representative	Approved	03/25/2025
B FINRA	Investment Banking Principal	Approved	03/25/2025
B FINRA	Investment Banking Representative	Approved	03/25/2025
B California	Agent	Approved	03/25/2025

Branch Office Locations

GT SECURITIES, INC.
Hacienda Heights, CA

Employment 2 of 2

Firm Name: **SKY VISION WEALTH MANAGEMENT CORP.**
Main Address: 780 ROOSEVELT UNIT 211
IRVINE, CA 92620
Firm ID#: 317320

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	06/22/2022
IA Texas	Investment Adviser Representative	Restricted Approval	11/17/2022



Qualifications

Branch Office Locations

SKY VISION WEALTH MANAGEMENT CORP.
780 ROOSEVELT UNIT 211
IRVINE, CA 92620




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, 4 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	04/02/2017

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Investment Banking Registered Representative Examination (S79)	Series 79	04/03/2014
 Futures Managed Funds Examination (S31)	Series 31	12/28/1998
 General Securities Representative Examination (S7)	Series 7	10/05/1995

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	12/22/1998
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/03/1995

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
B	02/01/2017 - 03/31/2023	SINGPOLI WEALTH MANAGEMENT LLC	CRD# 137889	Arcadia, CA
B	03/03/2014 - 01/17/2017	KEY WEST INVESTMENTS, LLC	CRD# 149418	SAN GABRIEL, CA
B	09/04/2012 - 05/01/2013	MAIA SECURITIES, INC.	CRD# 111394	YORBA LINDA, CA
B	01/29/2004 - 09/08/2010	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	PASADENA, CA
IA	01/29/2004 - 09/08/2010	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	PASADENA, CA
B	06/25/2002 - 01/22/2004	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	BOSTON, MA
IA	06/25/2002 - 01/22/2004	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	PASADENA, CA
IA	06/24/1999 - 06/27/2002	MORGAN STANLEY	CRD# 7556	CITY OF INDUSTRY, CA
B	12/17/1998 - 06/27/2002	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	10/06/1998 - 12/10/1998	U. S. PACIFIC FINANCIAL SERVICES, INC.	CRD# 17423	ALHAMBRA, CA
B	01/09/1998 - 11/05/1998	CAPITAL WORLD SECURITIES CORP	CRD# 32384	
B	10/06/1995 - 02/11/1998	U. S. PACIFIC FINANCIAL SERVICES, INC.	CRD# 17423	ALHAMBRA, CA
B	10/09/1997 - 01/23/1998	ACE DIVERSIFIED CAPITAL, INC.	CRD# 41768	SAN GABRIEL,, CA

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
02/2025 - Present	GT Securities, Inc.	Registered Representative	Y	Los Angeles, CA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2022 - Present	SKY VISION WEALTH MANAGEMENT CORP.	IAR - VP Investment Management	Y	Irvine, CA, United States
02/2017 - 03/2023	SINGPOLI WEALTH MANAGEMENT LLC	Principal & CCO	Y	Arcadia, CA, United States
02/2014 - 01/2017	KEY WEST INVESTMENTS LLC	VICE PRESIDENT	Y	SAN GABRIEL, 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) SVTOA; Not investment-related; Hacienda Heights, CA; Homeowners Association; Board Member / VP; Volunteer; Attend Monthly Board Meetings. 2 hours/month.

2) SKY VISION WEALTH MANAGEMENT CORP.; Investment related - any supervision for any RIA investors is conducted / maintained by this unaffiliated RIA; IRVINE, CA 92620; A RIA firm; IAR - VP Investment Management, Employee.; Jun 22, 2022; 120; 100.



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

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: Regulator

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.

Allegations: CLAIMANTS ALLEGED THAT RESPONDENT HOWARD H. YE ENGAGED IN UNSUITABLE AND UNAUTHORIZED TRADING IN UNSPECIFIED SECURITIES IN THEIR ACCOUNT. CLAIMANTS ASSERTED CLAIMS FOR BREACH OF CONTRACT, NEGLIGENCE, BREACH OF FIDUCIARY DUTY, AND FRAUD INVOLVING UNSPECIFIED SECURITIES.

Product Type: Other

Other Product Type(s): UNSPECIFIED SECURITIES

Alleged Damages: \$250,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #04-07414](#)

Date Notice/Process Served: 10/21/2004

Arbitration Pending? No

Disposition: Other

Disposition Date: 06/19/2006

Disposition Detail: STIPULATED AWARD ISSUED: ON MAY 2, 2006, PURSUANT TO A STIPULATED RESOLUTION, CLAIMANTS AND RESPONDENTS AGREED THAT ALL CLAIMS AGAINST RESPONDENT HOWARD H. YE SHALL BE DISMISSED.



THE PANEL NOTES THE STIPULATION BETWEEN CLAIMANTS AND RESPONDENT HOWARD H. YE THAT ALL REMAINING CLAIMS ASSERTED BY THE CLAIMANTS AGAINST THEM HAVE BEEN RESOLVED. CLAIMANTS AND RESPONDENTS HAVE ENTERED INTO A CONFIDENTIAL SETTLEMENT AGREEMENT.

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.

Allegations: CLAIM ALLEGES THAT BEGINNING IN MAY 1999 THE CUSTOMER ACCOUNT WAS IMPROPERLY INVESTED IN SPECULATIVE SECURITIES WITHOUT AUTHORIZATION.

Product Type: Other

Other Product Type(s): OTC STOCKS

Alleged Damages: \$275,000.00

Customer Complaint Information

Date Complaint Received: 11/19/2004

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 11/19/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD CASE NO. 04-07414](#)

Date Notice/Process Served: 11/19/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/18/2006

Monetary Compensation Amount: \$25,000.00

Individual Contribution Amount: \$0.00

Firm Statement THIS MATTER WAS SETTLED SOLELY TO AVOID THE TIME AND EXPENSE OF LITIGATION.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.



Allegations: CLAIM ALLEGES THAT BEGINNING IN MAY 1999 THE CUSTOMER ACCOUNT WAS IMPROPERLY INVESTED IN SPECULATIVE SECURITIES WITHOUT AUTHORIZATION.

Product Type: Equity-OTC

Alleged Damages: \$275,000.00

Is this an oral complaint?

Is this a written complaint? Yes

**Is this an arbitration/CFTC
reparation or civil litigation?** Yes

**Arbitration/Reparation forum
or court name and location:** CALIFORNIA

Docket/Case #: NASD, CASE NO: 04-07414

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 05/18/2006

Customer Complaint Information

Date Complaint Received: 11/19/2004

Complaint Pending? No

Status: Settled

Status Date: 11/19/2004

Settlement Amount: \$25,000.00

**Individual Contribution
Amount:** \$0.00

Arbitration Information

**Arbitration/CFTC reparation
claim filed with (FINRA, AAA,
CFTC, etc.):** NASD

Docket/Case #: [NASD, CASE#04-07414](#)

Date Notice/Process Served: 11/19/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/18/2006

**Monetary Compensation
Amount:** \$25,000.00

**Individual Contribution
Amount:** \$0.00

Broker Statement IN NOVEMBER OF 2003, ABOUT 17 MONTHS AFTER I LEFT MORGAN STANLEY, THE CUSTOMER'S LEGAL COUNSEL SENT A COMPLAIN LETTER TO THE FIRM ALLEGED THE CLAIM. MORGAN STANLEY AGREED TO SETTLE THE CLAIM FOR LESS THAN 10% OF THE ALLEGED DAMAGES SOLELY TO AVOID THE TIME AND EXPENSE OF LITIGATION. ALL THE INVESTMENTS IN CLIENT'S ACCOUNT DURING MY SERVICES WERE AUTHORIZED. THE SETTLEMENT AGREEMENT WAS MADE WITHOUT



MY CONSENT AND I DID NOT CONTRIBUTE ANY AMOUNT TO THE SETTLEMENT.



End of Report

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