



IAPD Report

Shuyi Kong

CRD# 3039505

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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

Shuyi Kong (CRD# 3039505)

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 **12/06/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	SHUYI KONG WEALTH MANAGEMENT, INC.	CRD# 168953	10/30/2013

QUALIFICATIONS

This representative is currently registered in **0** 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
B	EMERSON EQUITY LLC	130032	Millbrae, CA	11/03/2023 - 12/04/2023
B	ST. BERNARD FINANCIAL SERVICES, INC.	36956	RUSSELLVILLE, AR	05/12/2022 - 05/24/2022
IA	ACRYLIC FINANCIAL, INC.	288263	Millbrae, CA	08/05/2020 - 08/27/2020

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
Criminal	1
Customer Dispute	1
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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **SHUYI KONG WEALTH MANAGEMENT, INC.**
Main Address: 475 EL CAMINO REAL, #410
MILLBRAE, CA 94030
Firm ID#: 168953

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	10/30/2013

Branch Office Locations

SHUYI KONG WEALTH MANAGEMENT, INC.
475 EL CAMINO REAL, #410
MILLBRAE, CA 94030



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 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
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	06/03/1998

State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	07/28/2018
Uniform Investment Adviser Law Examination (S65)	Series 65	06/19/1998

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	11/03/2023 - 12/04/2023	EMERSON EQUITY LLC	CRD# 130032	Millbrae, CA
B	05/12/2022 - 05/24/2022	ST. BERNARD FINANCIAL SERVICES, INC.	CRD# 36956	RUSSELLVILLE, AR
IA	08/05/2020 - 08/27/2020	ACRYLIC FINANCIAL, INC.	CRD# 288263	Millbrae, CA
B	07/30/2020 - 08/13/2020	BROOKLIGHT PLACE SECURITIES, INC.	CRD# 15764	FOUNTAIN HILLS, AZ
B	06/28/2018 - 02/22/2019	PRESIDENTIAL BROKERAGE, INC.	CRD# 28784	Millbrae, CA
B	05/18/2015 - 08/10/2016	SUPREME ALLIANCE LLC	CRD# 45348	Millbrae, CA
B	08/01/2013 - 04/17/2015	GRADIENT SECURITIES, LLC	CRD# 127701	MILLBRAE, CA
B	04/14/2011 - 08/01/2013	KOVACK SECURITIES INC.	CRD# 44848	DALY CITY, CA
IA	04/12/2011 - 08/01/2013	KOVACK ADVISORS, INC.	CRD# 140808	FT. LAUDERDALE, FL
B	08/03/2009 - 03/18/2011	FOOTHILL SECURITIES, INC.	CRD# 1027	REDWOOD CITY, CA
IA	09/05/2008 - 03/16/2011	CUE FINANCIAL GROUP, INC.	CRD# 21033	PHOENIX, AZ
B	09/05/2008 - 08/03/2009	CUE FINANCIAL GROUP, INC.	CRD# 21033	PHOENIX, AZ
B	04/20/2007 - 09/09/2008	CUSO FINANCIAL SERVICES, L.P.	CRD# 42132	DALY CITY, CA
IA	04/20/2007 - 09/09/2008	CUSO FINANCIAL SERVICES, L.P.	CRD# 42132	DALY CITY, CA
IA	01/24/2006 - 04/10/2007	WM FINANCIAL SERVICES, INC.	CRD# 599	BURLINGAME, CA
B	06/15/2004 - 04/10/2007	WM FINANCIAL SERVICES, INC.	CRD# 599	BURLINGAME, CA



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	07/08/2002 - 04/29/2004	IFMG SECURITIES, INC.	CRD# 14416	SAN FRANCISCO, CA
B	11/03/2000 - 04/29/2004	IFMG SECURITIES, INC.	CRD# 14416	PURCHASE, NY
B	05/24/1999 - 06/03/1999	DAIN RAUSCHER INCORPORATED	CRD# 31194	NEW YORK, NY
B	06/05/1998 - 05/03/1999	SALOMON SMITH BARNEY INC.	CRD# 7059	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
04/2013 - Present	INDEPENDENT INSURANCE AGENT	INSURANCE AGENT	Y	MILLBRAE, CA, United States
04/2013 - Present	SHUYI KONG WEALTH MANAGEMENT, INC.	PRESIDENT/INVESTMENT ADVISOR REPRESENTATIVE	Y	MILLBRAE, CA, United States
11/2023 - 12/2023	EMERSON EQUITIES LLC	REGISTERED REPRESENTATIVE	Y	SAN MATEO, CA, United States
05/2022 - 05/2022	ST. BERNARD FINANCIAL SERVICES INC.	REGISTERED REPRESENTATIVE	Y	RUSSELLVILLE, AR, United States
07/2020 - 08/2020	ACRYLIC FINANCIAL, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	MILLBRAE, CA, United States
07/2020 - 08/2020	BROOKLIGHT PLACE SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	MILLBRAE, CA, United States
06/2018 - 02/2019	Presidential Brokerage, Inc.	Financial Advisor	Y	Greenwood Village, CO, United States
05/2015 - 08/2016	SUPREME ALLIANCE LLC	REGISTERED REPRESENTATIVE	Y	LANCASTER, KY, United States



Registration & Employment History



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)-FIXED INSURANCE BUSINESS-INVESTMENT RELATED, 475 EL CAMINO REAL #410, MILLBRAE, CA 94030, FIXED INSURANCE, AGENT, PROVIDE FIXED ANNUITY BUSINESS, 5 HRS A MONTH, 2 HRS PER MONTH DURING SECURITIES TRADING HOURS, 04/2013

2)- SHUYI KONG WEALTH MANAGEMENT-INVESTMENT RELATED, 475 EL CAMINO REAL #410, MILLBRAE, CA 94030, REGISTERED INVESTMENT ADVISORY, OWNER-FINANCIAL ADVISOR, PROVIDE ADVISORY SERVICES FOR CLIENTS, 120 HRS PER MONTH, 80 HRS PER MONTH DURING SECURITIES TRADING HOURS, 04/2013



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
Criminal	1
Customer Dispute	1
Termination	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	SUPERIOR COURT OF CALIFORNIA, COUNTY OF SAN MATEO
Location of Court:	REDWOOD CITY, CALIFORNIA
Docket/Case #:	SF396646
Charge Date:	02/11/2015
Charge(s) 1 of 3	
Formal Charge(s)/Description:	VIOLATION OF PENAL CODE SECTION 550(B)(2). ALLEGATION: PREPARE A WRITTEN OR ORAL STATEMENT TO ANY INSURER OR INSURANCE CLAIMANT, KNOWING THAT THE STATEMENT CONTAINS ANY FALSE OR MISLEADING INFORMATION CONCERNING ANY MATERIAL FACT.
No of Counts:	16
Felony or Misdemeanor:	Felony
Plea for each charge:	PLEA NOT GUILTY
Disposition of charge:	Dismissed
Charge(s) 2 of 3	
Formal Charge(s)/Description:	VIOLATION OF PENAL CODE SECTION 487(A). ALLEGATION: TAKE MONEY OR PERSONAL PROPERTY OF A VALUE EXCEEDING NINE HUNDRED FIFTY DOLLARS FROM AN ENTITY.
No of Counts:	10
Felony or Misdemeanor:	Felony
Plea for each charge:	PLEA NOT GUILTY



Disposition of charge:	Dismissed
Charge(s) 3 of 3	
Formal Charge(s)/Description:	VIOLATION OF PENAL CODE SECTION 368(D)(1). ALLEGATION: COMMIT A THEFT, EMBEZZLEMENT FORGERY, FRAUD OR IDENTITY THEFT OF MONEY, LABOR, REAL OR PERSONAL PROPERTY OF A VALUE EXCEEDING NINE HUNDRED FIFTY DOLLARS, AGAINST AN ELDER OR DEPENDENT PERSON.
No of Counts:	16
Felony or Misdemeanor:	Felony
Plea for each charge:	PLEA NOT GUILTY
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	03/09/2017
Disposition Date:	03/09/2017
Sentence/Penalty:	All counts were dismissed on March 9, 2017.
Broker Statement	All charges were dismissed and I look forward to having this removed from my record.



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: SALOMON SMITH BARNEY

Allegations: SALOMON SMITH BARNEY CLIENT ALLEGED UNAUTHORIZED TRADES IN HER ACCOUNT -EQUITIES. ALLEGED DAMAGES-\$10,000.00

Product Type:

Alleged Damages: \$10,000.00

Customer Complaint Information

Date Complaint Received: 04/09/1999

Complaint Pending? No

Status: Denied

Status Date: 07/01/1999

Settlement Amount:

Individual Contribution Amount:

Firm Statement THE CLAIM WAS DENIED. NOT PROVIDED.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY

Allegations: SALOMON SMITH BARNEY CLIENT ALLEGED UNAUTHORIZED TRADES IN HER ACCOUNT EQUITIES. ALLEGED DAMAGES \$10,000.00.

Product Type: Other

Other Product Type(s): GUIDED PORTFOLIO MANAGEMENT ACCOUNT

Alleged Damages: \$10,000.00

Customer Complaint Information

Date Complaint Received: 04/09/1999

Complaint Pending? No

Status: Denied

Status Date: 07/01/1999



Settlement Amount:

Individual Contribution Amount: \$0.00

Broker Statement PENDING. NOT PROVIDED.



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: Firm

Firm Name: FOOTHILL SECURITIES, INC.

Termination Type: Permitted to Resign

Termination Date: 03/15/2011

Allegations: IT HAS BEEN DETERMINED THAT THERE ARE A NUMBER OF CASES WHERE CUSTOMER BIRTH DATES APPEAR TO HAVE BEEN INCORRECTLY RECORDED ON FIXED ANNUITY APPLICATIONS AND ACCOUNT FORMS BY THE REPRESENTATIVE, RESULTING IN COMMISSION PAYOUTS THAT OTHERWISE WOULD HAVE BEEN REDUCED, OR THE CASES WOULD NOT HAVE BEEN ACCEPTED BY THE INSURANCE COMPANY.

Product Type: Annuity-Fixed

Reporting Source: Individual

Firm Name: FOOTHILL SECURITIES

Termination Type: Permitted to Resign

Termination Date: 03/15/2011

Allegations: FAILURE TO FOLLOW FIRM PROCEDURES

Product Type: Annuity-Fixed

Broker Statement THE ALLEGATION THAT CUSTOMER BIRTHDATES WERE INTENTIONALLY INCORRECTLY RECORDED BY ME ARE FALSE. THE ORIGIN FOR ALL CUSTOMER ACCOUNT INFORMATION USED FOR THE TRANSFER OF NEW ACCOUNTS WAS BASED ON INTERNAL DATA SUPPLIED TO ME BY MY PRIOR FIRMS. THAT IS, THE SOURCE OF THE ALLEGED INACCURATE BIRTHDATES WAS FROM THEIR OWN INTERNAL CLIENT DATABASE NOT FROM MY MISREPORTING AS ALLEGED. IT IS DISTURBING THAT I WAS SUPPLIED WITH INACCURATE BIRTHDATES OF EXISTING CUSTOMERS OF THE FIRM.



End of Report

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