



IAPD Report

DAVID WEI WONG

CRD# 4689031

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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

DAVID WEI WONG (CRD# 4689031)

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 **01/16/2026**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
B INTEGRITY BROKERAGE, LLC	CRD# 117589	04/03/2020
IA INTEGRITY ADVISERS LLC	CRD# 310757	01/21/2021

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
IA INTEGRITY BROKERAGE SERVICES, INC.	117589	Seattle, WA	09/29/2020 - 09/24/2020
B RANCE KING SECURITIES CORP.	15737	LONG BEACH, CA	05/23/2019 - 02/19/2020
B CREWE CAPITAL, LLC	152527	SALT LAKE CITY, UT	02/01/2018 - 05/21/2019

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
Regulatory Event	2
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: **INTEGRITY BROKERAGE, LLC**
Main Address: 720 SENECA ST STE 107
SEATTLE, WA 98101
Firm ID#: 117589

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	04/03/2020
B FINRA	General Securities Principal	Approved	05/13/2020
B California	Agent	Approved	04/03/2020
B Washington	Agent	Approved	06/02/2022

Branch Office Locations

INTEGRITY BROKERAGE SERVICES, INC.
453 S Spring St Ste 400
Los Angeles, CA 90013

INTEGRITY BROKERAGE SERVICES, INC.
720 Seneca St Ste 107
Seattle, WA 98101

Employment 2 of 2

Firm Name: **INTEGRITY ADVISERS LLC**
Main Address: 453 S SPRING ST
#400-285
LOS ANGELES, CA 90013
Firm ID#: 310757

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026

Branch Office Locations

INTEGRITY ADVISERS LLC



Qualifications

453 S SPRING ST
#400-285
LOS ANGELES, CA 90013




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



Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	05/13/2020

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	09/22/2003

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	08/19/2020
	Uniform Securities Agent State Law Examination (S63)	Series 63	10/28/2003

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	09/29/2020 - 09/24/2020	INTEGRITY BROKERAGE SERVICES, INC.	CRD# 117589	Seattle, WA
B	05/23/2019 - 02/19/2020	RANCE KING SECURITIES CORP.	CRD# 15737	LONG BEACH, CA
B	02/01/2018 - 05/21/2019	CREWE CAPITAL, LLC	CRD# 152527	SALT LAKE CITY, UT
B	11/28/2017 - 02/01/2018	WEALTHFORGE SECURITIES, LLC	CRD# 152550	RICHMOND, VA
B	08/17/2017 - 11/22/2017	ARETE WEALTH MANAGEMENT, LLC	CRD# 44856	CHICAGO, IL
B	07/10/2015 - 09/01/2017	SILBER BENNETT FINANCIAL, INC.	CRD# 156435	ENCINO, CA
B	01/15/2015 - 06/30/2015	SANDLAPPER SECURITIES, LLC	CRD# 137906	GREENVILLE, SC
B	07/11/2012 - 12/31/2013	ARI FINANCIAL SERVICES, INC.	CRD# 137608	OVERLAND PARK, KS
B	07/30/2010 - 12/22/2010	ARI FINANCIAL SERVICES, INC.	CRD# 137608	IRVINE, CA
B	03/17/2010 - 06/01/2010	ARI FINANCIAL SERVICES, INC.	CRD# 137608	OVERLAND PARK, KS
B	09/09/2009 - 03/09/2010	NEWPORT COAST SECURITIES, INC.	CRD# 16944	NEW YORK, NY
B	03/11/2009 - 06/19/2009	PASSCO CAPITAL, INC.	CRD# 117323	IRVINE, CA
B	07/26/2006 - 03/04/2008	ARI FINANCIAL SERVICES, INC.	CRD# 137608	SAN CLEMENTE, CA
B	05/25/2005 - 08/29/2006	BURCH & COMPANY, INC	CRD# 102280	SAN CLEMENTE, CA
B	12/19/2003 - 05/31/2005	JAMES HAROLD GOODE, JR.	CRD# 16334	SAN CLEMENTE, 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
B	09/23/2003 - 10/23/2003	EDWARD JONES	CRD# 250	ST. LOUIS, MO

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
10/2020 - Present	Ehukai Advisors LLC	Owner/ Investment Advisor	Y	Monterey Park, CA, United States
04/2020 - Present	Integrity Brokerage LLC	CEO and Reg Rep	Y	Oceanside, CA, United States
05/2019 - 02/2020	Rance King Securities Inc	Regisered Rep	Y	Long Beach, CA, United States
01/2018 - 06/2019	Crewe Capital, LLC	Registered Rep	Y	Salt Lake City, UT, United States
11/2017 - 01/2018	Wealthforge Securities, LLC	Registered Rep	Y	RichMond, VA, United States
09/2017 - 01/2018	Capital Square	Wholesaler	Y	Monterey Park, CA, United States
08/2017 - 11/2017	Arete Wealth Management LLC	Registered Representative	Y	Chicago, IL, United States
07/2015 - 08/2017	SILBER BENNETT FINANCIAL, INC.	REGISTERED REPRESENTATIVE	Y	ENCINO, 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.

Owner of Integrity Brokerage LLC, a broker dealer, and Beachbreak Advisors LLC, an IA, both investment-related. Address for both is Mukilteo, WA. Time spent with the BD is roughly 50 hours per week and 1 hour per week with the IA, and during trading hours. Duties include compliance, supervision, and regulatory for both the BD and the RIA.



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
Regulatory Event	2
Customer Dispute	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	Washington
Sanction(s) Sought:	Other: Order Vacating Final Order S-24-3831-25-FO01. Statement of Charges S-24-3831-25-SC01 still pending.
Date Initiated:	12/11/2025
Docket/Case Number:	S-24-3831-25-FO02
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Integrity Brokerage LLC
Product Type:	No Product
Allegations:	Order Vacating Final Order S-24-3831-25-FO01. Statement of Charges S-24-3831-25-SC01 still pending.
Current Status:	Pending
Resolution:	Order Vacating Final Order S-24-3831-25-FO01.
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	12/11/2025



Regulator Statement Order Vacating Final Order S-24-3831-25-FO01. Statement of Charges S-24-3831-25-SC01 still pending.

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Reporting Source: Individual
Regulatory Action Initiated By: state of washington

Sanction(s) Sought:
Date Initiated: 11/17/2025

Docket/Case Number: s-243831--25-fo01

Employing firm when activity occurred which led to the regulatory action: integrity brokerage

Product Type: No Product

Allegations: Respondent initiated unauthorized deductions.

Current Status: Pending

Broker Statement There was an inheritance dispute between four siblings of two mothers, and in the other instance a former broker defrauded multiple clients before his death. This entire course of events resulted in \$39,154.75 of invoices charged by the regulator, plus an additional \$21,780.00 of disclosure fees that were automatically deducted from our flex-funding account, for a total bill of \$60,934.75 thus far. This dollar amount does not include legal fees or awards paid to claimants, and the cases were settled before entering the arbitration room. PS: I am not the original owner of this firm.

Disclosure 2 of 2

Reporting Source: Regulator
Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A
Date Initiated: 05/07/2024

Docket/Case Number: [2021069373001](#)

Employing firm when activity occurred which led to the regulatory action: Integrity Brokerage, LLC

Product Type: Other: Roth IRA and Trust Accounts

Allegations: Wong was named a respondent in a FINRA complaint alleging that he converted and misused \$9,430.75 in customer funds. The complaint alleges that initially Wong converted and misused \$3,230.75, 100% of the funds in a Roth IRA account at his member firm belonging to a customer, when he transferred the customer's funds into the firm's bank account. The customer was married to a former registered representative at the firm who had passed away. At the time of the customer's husband's death, he and the firm were respondents in two FINRA customer arbitrations, which related to the sales activities of the customer's husband. Wong was a respondent in one of these FINRA customer arbitrations. Wong took funds from the customer's account into the firm's account without



asking her permission or obtaining her approval. The customer's account statement indicated that the charge was for a FINRA Arbitration, however, the customer did not authorize the transfer of funds from her account and the funds did not belong to Wong or to the firm. Furthermore, Wong converted and misused \$6,200 from a trust account established for the benefit of two customers when he transferred the account's funds into the firm's bank account. The customers were the children and heirs to firm customers who had passed away. Wong directed a clearing firm to take the funds from the trust account without asking permission or obtaining approval from the customers after their attorney wrote a letter to the firm complaining about its handling of the customers' parents' accounts after they passed away. The firm provided a copy of the letter to FINRA in response to FINRA's request for information to the firm regarding customer complaints. The account statement for the trust account during this period described the charges as a \$5,000 FINRA fine complaint fee and a \$1,200 FINRA investigation fee. Neither of the customers authorized the transfer of the funds from the trust account and Wong knew that the funds did not belong to him or to the firm.

Current Status:	On Appeal
Action Appealed To:	SRO
Date Appeal filed:	04/23/2025
Appeal Limitation Details:	May 29, 2025 - Order issued granting interim conditions and restrictions amongst which include that Wong shall not assess, or direct firm or clearing firm to assess, fees on customer accounts, other than those in normal course of business and previously disclosed to the customer.
Resolution:	Pending Appeal
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	04/21/2025
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Regulator Statement

OHO Hearing Panel decision rendered April 21, 2025 wherein Wong is barred from associating with any FINRA member in all capacities. The sanctions are based on the findings that Wong misused and converted customer funds.

On April 23, 2025, Wong appealed the decision to the NAC. The sanctions are not in effect pending the review.

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Reporting Source:	Individual
Regulatory Action Initiated By:	finra
Sanction(s) Sought:	Bar Censure Civil and Administrative Penalty(ies)/Fine(s) Expulsion Revocation Suspension
Date Initiated:	06/17/2024
Docket/Case Number:	2021069373001



Employing firm when activity occurred which led to the regulatory action:	integrity brokerage llc
Product Type:	No Product
Allegations:	Converting and making improper use of customer funds (FINRA Rule 2150(a) and FINRA Rule 2010)
Current Status:	On Appeal
Action Appealed To:	SRO
Date Appeal filed:	04/22/2025
Appeal Limitation Details:	
Resolution:	on appeal
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	04/21/2025
Broker Statement	Client A was the spouse of a broker that stole cash and client B/C submitted false documentation to claim inheritance



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: Individual

Employing firm when activities occurred which led to the complaint: INTEGRITY BROKERAGE SERVICES, INC.

Allegations: The activities concerning this arbitration occurred prior to Mr. Wong becoming owner of the firm. Mr. Wong does not manage any retail customer accounts, has never met these individuals, and has never sold securities to these individuals.

Product Type: Direct Investment-DPP & LP Interests
Real Estate Security
Viatical Settlement

Alleged Damages: \$489,862.00

Is this an oral complaint? Yes

Is this a written complaint? No

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

Arbitration/Reparation forum or court name and location: San Diego, CA

Docket/Case #:

Filing date of arbitration/CFTC reparation or civil litigation:

Customer Complaint Information

Date Complaint Received: 12/14/2021

Complaint Pending? No

Status: Closed/No Action

Status Date: 12/14/2021

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: [21-01782](#)

Date Notice/Process Served: 07/15/2021



Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	03/18/2022
Monetary Compensation Amount:	\$50,000.00
Individual Contribution Amount:	\$50,000.00



End of Report

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