IAPD Report

JOE C WONG

CRD# 5015053

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When communicating online or investing with any professional, make sure you know who you're dealing with. Imposters might link to sites like BrokerCheck from phishing or similar scam websites, or through social media, trying to steal your personal information or your money.

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

JOE C WONG (CRD# 5015053)

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 **01/19/2024**.

CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

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	STEWARD PARTNERS INVESTMENT ADVISORY, LLC	283004	CLEARWATER, FL	03/30/2016 - 01/19/2024
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	BETHESDA, MD	06/05/2014 - 12/08/2016
IA	MORGAN STANLEY	149777	ROCKVILLE, MD	06/01/2009 - 05/27/2014

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? **No**

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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 not currently registered as an Investment Adviser Representative.

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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, 0 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
No information reported.		

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	09/24/2005

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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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	03/30/2016 - 01/19/2024	STEWARD PARTNERS INVESTMENT ADVISORY, LLC	CRD# 283004	CLEARWATER, FL
IA	06/05/2014 - 12/08/2016	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	BETHESDA, MD
IA	06/01/2009 - 05/27/2014	MORGAN STANLEY	CRD# 149777	ROCKVILLE, MD
IA	05/23/2006 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	WASHINGTON, DC
IA	10/25/2005 - 05/11/2006	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	ROCKVILLE, MD
IA	09/26/2005 - 10/10/2005	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	ROCKVILLE, MD

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
05/2022 - Present	STEWARD PARTNERS INVESTMENT SOLUTIONS, LLC	REGISTERED REPRESENTATIVE	Y	CLEARWATER, FL, United States
01/2016 - Present	STEWARD PARTNERS INVESTMENT ADVISORY, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	CLEARWATER, FL, United States
05/2014 - Present	STEWARD PARTNERS GLOBAL ADVISORY, LLC	WEALTH MANAGER	N	CLEARWATER, FL, United States
06/2014 - 05/2022	RAYMOND JAMES FINANCIAL SERVICES ADVISORS INC.	INVESTMENT ADVISER REP	Y	Clearwater, FL, United States
05/2014 - 05/2022	RAYMOND JAMES FINANCIAL SERVICES	FINANCIAL ADVISOR	Y	Clearwater, FL, 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): AcneFree, LLC Address: 10411 Motor City Drive, Bethesda, MD, s Activity Type: Business Owner Position/Title: Partner Investment Related: No Start Date: 11/11/2019 Hours per month devoted to this business: 2-10 Hours per month devoted to this

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Registration & Employment History

OTHER BUSINESS ACTIVITIES

business during trading hours: 2-10 DOD: Owner. Managing executives of the company.
(2): AMBI Enterprises LLC Address: 8980 Old Annapolis Rd suite l, Columbia, MD, s Activity Type: Business Owner Position/Title: Partner Investment Related: No Start Date: 12/02/2018 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 DOD: This is an LLC with 6 partners. I will be one of the partner. I will not be working in the day-to-day activities of the company. I will be on a board type structure that will govern the company.
(3): Baxter of California LLC Address: 515 N La Cienega Blvd, West Hollywood, CA, 90048, s Activity Type: Business Owner Position/Title: Partner Investment Related: No Start Date: 01/01/2021 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 DOD: I'm the primary owner of the company.
(4): DC Custom Clothiers Address: 608 Water St, Baltimore, MD, 21202, s Activity Type: Other Position/Title: Partner Investment Related: No Start Date: 12/01/2015 Hours per month devoted to this business: 11-20 Hours per month devoted to this business during trading hours: 0-1 DOD: I am the owner and my responsibilities is primary to ensure that the employees of the company executes the proper strategy of the business.
(5): Friedman Wong Kafetz Group Address: 7550 Wisconsin Ave Ste 420, Bethesda, MD, s Activity Type: Support Company - Owner Position/Title: Other Investment Related: No Start Date: 05/09/2014 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 DOD: Financial Advisor
(6): Steward Partners Global Advisory Address: 600 Cleveland Street Suite 799, Clearwater, FL, 33755, s Activity Type: Support Company - Non Owner Position/Title: Associate/Employee Investment Related: No Start Date: 05/09/2014 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 DOD: Advisor
(7): Steward Partners Global Advisory Address: 600 Cleveland Street Suite 799, Clearwater, FL, 33755, s Activity Type: Non-variable Insurance Position/Title: Agent Investment Related: Yes Start Date: 03/24/2015 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 2-10 DOD: Install insurance products listed
(8): Steward Partners Investment Advisory LLC Address: 7550 Wisconsin Ave Ste 420, Bethesda, MD, s Activity Type: Independent RIA Position/Title: Investment Related: No Start Date: 01/14/2016 Hours per month devoted to this business: 21-40 Hours per month devoted to this business during trading hours: 21-40 DOD: Financial Advisor, Wealth Manager, Financial Planning, Investment Planning

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End of Report

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