



## IAPD Report

# Dale Augustin Huang

CRD# 5464508

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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

### Dale Augustin Huang (CRD# 5464508)

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 **02/10/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	LPL FINANCIAL LLC	CRD# 6413	07/21/2021
<b>IA</b>	LPL FINANCIAL LLC	CRD# 6413	07/21/2021

### 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
<b>IA</b>	WADDELL & REED	866	AUSTIN, TX	11/20/2019 - 07/21/2021
<b>B</b>	WADDELL & REED	866	AUSTIN, TX	11/19/2019 - 07/21/2021
<b>B</b>	J.P. MORGAN SECURITIES LLC	79	AUSTIN, TX	10/01/2012 - 11/06/2019

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

### Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**  
Main Address: 1055 LPL WAY  
FORT MILL, SC 29715  
Firm ID#: 6413

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	07/21/2021
<b>B</b>	Georgia	Agent	Approved	07/21/2021
<b>IA</b>	Georgia	Investment Adviser Representative	Approved	07/21/2021
<b>B</b>	Texas	Agent	Approved	07/21/2021
<b>IA</b>	Texas	Investment Adviser Representative	Approved	07/21/2021

### Branch Office Locations

**LPL FINANCIAL LLC**  
AUSTIN, TX



## 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 1 state securities law exam.**

#### 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
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General Securities Representative Examination (S7)	Series 7	01/29/2008
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#### State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	02/15/2008
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### 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	11/20/2019 - 07/21/2021	WADDELL & REED	CRD# 866	AUSTIN, TX
B	11/19/2019 - 07/21/2021	WADDELL & REED	CRD# 866	AUSTIN, TX
B	10/01/2012 - 11/06/2019	J.P. MORGAN SECURITIES LLC	CRD# 79	AUSTIN, TX
IA	10/01/2012 - 11/06/2019	J.P. MORGAN SECURITIES LLC	CRD# 79	AUSTIN, TX
B	06/15/2009 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	AUSTIN, TX
IA	06/15/2009 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	AUSTIN, TX
IA	02/18/2008 - 06/10/2009	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	AUSTIN, TX
B	01/31/2008 - 06/10/2009	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	AUSTIN, TX

### 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
07/2021 - Present	LPL FINANCIAL LLC	Financial Advisor	Y	AUSTIN, TX, United States
11/2019 - 07/2021	VARIOUS INSURANCE CARRIERS FOR W&R INSURANCE AGENCIES	INSURANCE AGENT	Y	AUSTIN, TX, United States
11/2019 - 07/2021	WADDELL & REED, INC.	ASSOCIATED PERSON	Y	AUSTIN, TX, United States
10/2012 - 11/2019	J.P. MORGAN SECURITIES LLC	FINANCIAL ADVISOR	Y	AUSTIN, TX, 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.

11/2019-PRESENT; VARIOUS INSURANCE CARRIERS FOR W&R INSURANCE AGENCIES; AUSTIN, TX; INVESTMENT



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

RELATED; INSURANCE SALES; INSURANCE AGENT.



## 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
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Termination	1
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### 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

<b>Reporting Source:</b>	Firm
<b>Firm Name:</b>	JP MORGAN CHASE BANK, NA
<b>Termination Type:</b>	Discharged
<b>Termination Date:</b>	10/08/2019
<b>Allegations:</b>	REGISTERED REP WAS TERMINATED FOR OVERALL JOB PERFORMANCE, INCLUDING ALLEGED FAILURE TO ESCALATED A NON-SALES PRACTICE RELATED WRITTEN CUSTOMER COMPLIANT. REGISTERED REP DID NOT BELIEVE THE CUSTOMER COMMUNICATION CONSTITUTED A COMPLAINT THAT HAD TO BE ESCALATED TO HIS SUPERVISORY MANAGER.
<b>Product Type:</b>	No Product

<b>Reporting Source:</b>	Individual
<b>Firm Name:</b>	JP MORGAN CHASE BANK, NA
<b>Termination Type:</b>	Discharged
<b>Termination Date:</b>	10/08/2019
<b>Allegations:</b>	REGISTERED REP WAS TERMINATED FOR OVERALL JOB PERFORMANCE, INCLUDING ALLEGED FAILURE TO ESCALATE A NON-SALES PRACTICE RELATED WRITTEN CUSTOMER COMPLAINT. REGISTERED REP DID NOT BELIEVE THE CUSTOMER COMMUNICATION CONSTITUTED A COMPLAINT THAT HAD TO BE ESCALATED TO HIS SUPERVISORY MANAGER.
<b>Product Type:</b>	No Product

**Broker Statement** During my 10-year career, JP Morgan never advised me that it had concerns with my performance as a financial advisor. In fact, I was a top 5 producer in terms of production and net new money awards in my group. I continue to believe that the



incident in question did not constitute a customer complaint that triggered a duty to report to my firm, and that JP Morgan's after-the-fact characterization of my client communication as a complaint is incorrect. On or about the beginning of September of 2019, I received an email from a client who was concerned about the performance of his account being down 1.5%. After receiving the email, I immediately called the client and reviewed his financial plan that we had been implementing for the last two and a half years. The next day we had a meeting, and at no time did he criticize or take issue with the investment advice that I had provided him; his sole concern was with the performance of his account. Once I finished my client meeting, I showed the client's email to two other more senior registered representatives. They were both of the opinion, that the concerns the client had expressed were solely account performance-related and that I did not need to forward the email to Compliance. Furthermore, in two prior instances earlier in my career at JP Morgan where other clients had emailed me with concerns about their accounts' performance, Compliance at JP Morgan had merely flagged the messages for review and asked me to provide a short, written explanation. I had no reason to think this latest incident needed to be treated any differently. On or about the end of September 2019, I was contacted by an individual in the compliance department at JP Morgan who had reviewed the email sent by my client. This individual confirmed that the nature of the email was not a complaint and raised no sales practice concerns, was solely related to account performance and asked me to please provide a short, written statement. Around that same time, I spoke with my direct manager who said that since there was not a sales practice concern, then there would be nothing to worry about. Given this background I was very surprised when my manager met with me several days later and advised me that I was being terminated immediately for having failed to forward the original email from the client to the compliance department. He did not provide an explanation as to why this decision was being made, particularly since just days earlier he told me that he felt I had acted appropriately, and that compliance had confirmed this. While I believe that JP Morgan did not have a valid basis for terminating me for cause based on this incident, as a registered representative with over 10 years of experience and completely clean Form U4, I have learned a valuable lesson and will err on the side of caution and forward any similar emails to the compliance department in any future employment.



## End of Report

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