



IAPD Report

AKEMI KONDO DALVI

CRD# 5617765

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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

AKEMI KONDO DALVI (CRD# 5617765)

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 **10/16/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	06/30/2011
IA	KONDO WEALTH ADVISORS, INC	CRD# 175347	06/25/2015

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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	KONDO WEALTH ADVISORS	134998	PASADENA, CA	07/26/2011 - 06/05/2015
IA	TRANSAMERICA FINANCIAL ADVISORS, INC.	16164	PASADENA, CA	03/16/2010 - 07/05/2011
B	TRANSAMERICA FINANCIAL ADVISORS, INC	16164	PASADENA, CA	02/09/2010 - 07/05/2011

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









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

Employment 1 of 2

Firm Name: **PURSHE KAPLAN STERLING INVESTMENTS**
Main Address: 80 STATE STREET
ALBANY, NY 12207
Firm ID#: 35747

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	06/30/2011
	California	Agent	Approved	06/30/2011
	Colorado	Agent	Approved	02/28/2023
	Maine	Agent	Approved	02/28/2023
	Nevada	Agent	Approved	07/09/2014
	Oregon	Agent	Approved	10/04/2024


Branch Office Locations

921 East Green Street
PASADENA, CA 91106

21250 Hawthorne Blvd
Suite 500
Torrance, CA 90503

Employment 2 of 2

Firm Name: **KONDO WEALTH ADVISORS, INC**
Main Address: 921 EAST GREEN STREET
PASADENA, CA 91106
Firm ID#: 175347

	Regulator	Registration	Status	Date
	California	Investment Adviser Representative	Approved	06/25/2015



Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	04/04/2024

Branch Office Locations

KONDO WEALTH ADVISORS, INC
921 EAST GREEN STREET
PASADENA, CA 91106



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
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	02/08/2010

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	03/15/2010



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Personal Financial Specialist

This representative holds or did hold **2** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	07/26/2011 - 06/05/2015	KONDO WEALTH ADVISORS	CRD# 134998	PASADENA, CA
IA	03/16/2010 - 07/05/2011	TRANSAMERICA FINANCIAL ADVISORS, INC.	CRD# 16164	PASADENA, CA
B	02/09/2010 - 07/05/2011	TRANSAMERICA FINANCIAL ADVISORS, INC	CRD# 16164	PASADENA, 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
07/2011 - Present	PURSHE KAPLAN STERLING INVESTMENTS	REGISTERED REPRESENTATIVE	Y	ALBANY, NY, United States
03/2008 - Present	KONDO WEALTH ADVISORS	OWNER, CHIEF EXECUTIVE OFFICER & INVESTMENT ADVISOR	Y	PASADENA, 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) KONDO WEALTH ADVISORS (RIA); INVESTMENT RELATED; 921 East Green Street, Pasadena CA 91106; FINANCIAL AND RETIREMENT PLANNING SERVICES AND PRODUCTS; OWNER; MARCH 2008 START DATE; DEVOTE 160 HRS/MO TO BUSINESS TOTAL; DEVOTE 100 HRS/MO TO BUSINESS DURING SECURITIES TRADING HOURS; DUTIES INCLUDE PREPARATION OF COMPREHENSIVE FINANCIAL PLANS, LIFE INSURANCE, LONG TERM CARE AND INVESTMENT ANALYSIS.

(2) AKEMI DALVI, CPA; NOT INVESTMENT RELATED; ACTIVE LICENSE; NON-PRACTICING; 0 HOURS/MONTH.

(3) PKSF-Investment related-80 State St, Albany, NY 12207-fixed insurance & long term care insurance sales-agent-3/2016-5 hrs/mth-100% during trading hrs

(4)) Rental Property 921 East Green Street, Pasadena, CA 91106. Not investment related. Owner 7/2021. 2 hrs/mo. Landlord duties.

(5) Pasadena Green Street Investments, LLC, Investment Related, Owner/Manager, 07/2021, Pasadena, CA, Rental Proper, 2hrs/mo. 2 trade hrs/mo.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

(6) Author / Columnist / Public Speaker; INVESTMENT RELATED; 921 East Green Street, Pasadena, CA 91106; providing financial education; Author / Columnist /Speaker; 2019; HRS/Month: 20; HRs During Securities Hours: 3-5; authored a book, write articles in community publications and engage in public speaking to share financial and market updates for educational purposes.



End of Report

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