



IAPD Report

ESTHER YONG JONES

CRD# 5892841

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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

ESTHER YONG JONES (CRD# 5892841)

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 **01/06/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	03/10/2017
IA	OSAIC WEALTH, INC.	CRD# 23131	02/03/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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	SIGNATOR INVESTORS, INC.	468	HONOLULU, HI	05/13/2016 - 03/10/2017
B	TRANSAMERICA FINANCIAL ADVISORS, INC	16164	HONOLULU, HI	07/17/2015 - 05/13/2016

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	2



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

Employment 1 of 1

Firm Name: **OSAIC WEALTH, INC.**
Main Address: 18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255
Firm ID#: 23131

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	03/10/2017
B California	Agent	Approved	08/27/2025
B Colorado	Agent	Approved	12/23/2025
B Georgia	Agent	Approved	08/27/2025
B Hawaii	Agent	Approved	03/10/2017
IA Hawaii	Investment Adviser Representative	Approved	02/03/2021
B Indiana	Agent	Approved	08/29/2025
B Michigan	Agent	Approved	08/28/2025
B New Jersey	Agent	Approved	08/26/2025
B Virginia	Agent	Approved	04/10/2019

Branch Office Locations

OSAIC WEALTH, INC.
1163 S. BERETANIA STREET
HONOLULU, HI 96814



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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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	07/16/2015
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	01/29/2021
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B Uniform Securities Agent State Law Examination (S63)	Series 63	02/24/2015
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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
B	05/13/2016 - 03/10/2017	SIGNATOR INVESTORS, INC.	CRD# 468	HONOLULU, HI
B	07/17/2015 - 05/13/2016	TRANSAMERICA FINANCIAL ADVISORS, INC	CRD# 16164	HONOLULU, HI

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
07/2024 - Present	KAMEMOTO FINANCIAL	ASSISTANT	Y	HONOLULU, HI, United States
08/2023 - Present	OSAIC WEALTH, INC	REGISTERED REPRESENTATIVE	Y	HONOLULU, HI, United States
02/2021 - Present	ARNOLD JD HONDA AND ASSOCIATES	ASSOCIATE	Y	HONOLULU, HI, United States
03/2005 - Present	OCCIDENTAL UNDERWRITERS OF HAWAII	SALES ASSISTANT	N	HONOLULU, HI, United States
03/2017 - 08/2023	ROYAL ALLIANCE ASSOCIATES	REGISTERED REPRESENTATIVE	Y	HONOLULU, HI, United States
05/2016 - 03/2017	SIGNATOR INVESTORS, INC.	REG REP	Y	HONOLULU, HI, United States
01/2012 - 03/2017	AMWAY CORP	INDEPENDENT BUSINESS OPERATOR	N	ADA, MI, 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. OCCIDENTAL UNDERWRITERS OF HAWAII

POSITION: Securities Admin NATURE: Corporation INVESTMENT RELATED: Yes NUMBER OF HOURS: 155 SECURITIES

TRADING HOURS: 60 START DATE: 03/28/2005

ADDRESS: 1163 S. Beretania Street, Honolulu HI 96814, United States

DESCRIPTION: Support registered reps with new business, licensing, commissions concerns. Process checks, provide guidance on supervision requirements. Attend and assist with coordination of sponsor meetings, company meetings, securities meetings. Clerical duties such as faxing, copying, scanning. Assist with recruiting of new reps and onboarding. Training admin.

2. KAMEMOTO FINANCIAL GROUP

POSITION: Assistant NATURE: S-Corp INVESTMENT RELATED: Yes NUMBER OF HOURS: 120 SECURITIES TRADING



Registration & Employment History



OTHER BUSINESS ACTIVITIES

HOURS: 40 START DATE: 07/01/2024

ADDRESS: 1163 S. Beretania Street, Honolulu HI 96814, United States

DESCRIPTION: New business paperwork, schedule client meetings, assist clients with administrative issues, completing paperwork, faxing sponsor/insurance companies forms, clear TR Prep, use of Osaic programs TR Prep, Document Management, Wealthscape. Duties are strictly clerical in nature.



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	2

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 2

Reporting Source:	Individual
If charge(s) were brought against an organization over which individual exercised control:	
Organization Name:	N/A
Investment Related Business:	No
Position:	N/A
Formal Charges were brought in:	MUNICIPAL COURT
Name of Court:	BERKELEY - ALBANY
Location of Court:	BERKELEY, ALAMEDA COUNTY, CALIFORNIA
Docket/Case #:	132773
Charge Date:	05/06/1998
Charge(s) 1 of 1	
Formal Charge(s)/Description:	PETTY THEFT
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	GUILTY
Disposition of charge:	Pled guilty
Current Status:	Final
Status Date:	05/06/1998



Disposition Date: 06/24/1998

Sentence/Penalty: PROBATION

Disclosure 2 of 2

Reporting Source: Individual

Formal Charges were brought in: MUNICIPAL COURT

Name of Court: BERKELEY-ALBANY

Location of Court: BERKELEY, ALAMEDIA COUNTY, CALIFORNIA

Docket/Case #: 98-01174

Charge Date: 03/11/1998

Charge(s) 1 of 1

Formal Charge(s)/Description: THE CHARGE WAS 487(A) FELONY GRAND THEFT (JEWELRY)

No of Counts: 1

Felony or Misdemeanor: Felony

Plea for each charge: GUILTY

Disposition of charge: Pled guilty

Current Status: Final

Status Date: 03/11/1998

Disposition Date: 03/11/1998

Sentence/Penalty: THREE YEARS OF INFORMAL PROBATION STARTING 03/11/1998 AND ENDING ON 03/10/2001

Broker Statement MS. KIM WAS ARRESTED BY THE UNIVERSITY OF CALIFORNIA BERKELEY POLICE DEPARTMENT WHEN SHE WAS A STUDENT FOR THE ALLEGED THEFT OF HER ROOMMATE'S RING. THE COURT GAVE HER A CHOICE OF 30 DAYS JAIL TIME WITH A MISDEMEANOR CHARGE OF THEFT OR 3 YEARS INFORMAL PROBATION WITH A FELONY CHARGE. SHE TOOK THE LATTER AS SHE WAS SCARED TO GO TO JAIL AT AGE 19.



End of Report

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