



IAPD Report

Jilena Yuen-Han Mok

CRD# 6115674

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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

Jilena Yuen-Han Mok (CRD# 6115674)

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 **05/05/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AEGIS CAPITAL CORP.	CRD# 15007	05/10/2023
IA	AEGIS CAPITAL CORP.	CRD# 15007	05/11/2023

QUALIFICATIONS

This representative is currently registered in **3** SRO(s) and 3 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	EDWARD JONES	250	SAN FRANCISCO, CA	02/04/2013 - 03/09/2023
B	EDWARD JONES	250	SAN FRANCISCO, CA	10/25/2012 - 03/09/2023

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
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 **3** jurisdiction(s) and 3 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **AEGIS CAPITAL CORP.**
Main Address: 1345 AVENUE OF THE AMERICAS
27TH FLOOR
NEW YORK, NY 10105
Firm ID#: 15007

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	05/10/2023
B	NYSE Arca, Inc.	General Securities Representative	Approved	05/10/2023
B	Nasdaq Stock Market	General Securities Representative	Approved	05/10/2023
B	California	Agent	Approved	05/10/2023
IA	California	Investment Adviser Representative	Approved	05/11/2023
IA	New York	Investment Adviser Representative	Approved	05/11/2023
B	New York	Agent	Approved	05/23/2023
B	Washington	Agent	Approved	04/17/2024

Branch Office Locations

AEGIS CAPITAL CORP.
San Francisco, CA



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	10/24/2012

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	11/09/2012



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

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](#).



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	02/04/2013 - 03/09/2023	EDWARD JONES	CRD# 250	SAN FRANCISCO, CA
B	10/25/2012 - 03/09/2023	EDWARD JONES	CRD# 250	SAN FRANCISCO, 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
05/2023 - Present	Aegis Capital Corp	Registered Representative, Investment Advisor Representative	Y	New York, NY, United States
09/2012 - 02/2023	EDWARD JONES	FINANCIAL ADVISOR	Y	ST LOUIS, MO, 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) Rental Property, San Bruno, CA, Investment-related Start date: 2/1/2014, Owner, Hours per week: 0, Hours during trading: 0, Maintain property.

Rental Property Pacifica, CA, Investment-related Start date: 8/1/2008, Owner, Hours per week: 0, Hours during trading: 0, Rent out property.

Rental Property, San Bruno, CA, Investment-related Start date: 2/1/2011, Owner, Hours per week: 0, Hours during trading: 0, Rent out property.

Rental Property, Flushing, NY, Investment-related Start date: 5/27/2020, Owner, Hours per week: 0, Hours during trading: 0, Look over income and accounting.

Rental Property, Philadelphia, PA, Investment-related Start date: 8/15/2021, Owner, Hours per week: 0, Hours during trading: 0, Rent out property, calculate utilities, ready the file for taxes

2) ACC AGENCY, INC., 1305 WALT WHITMAN RD. SUITE 120 MELVILLE NY 11747; INVESTMENT-RELATED; AGENT, PRODUCER; INSURANCE GENERAL AGENCY; START DATE: 01/16/2025; 5-10 HOURS PER MONTH DEVOTED TO BUSINESS; 5-10 HOURS DURING SECURITIES TRADING HOURS.



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
Termination	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:	Maryland
Sanction(s) Sought:	Revocation
Date Initiated:	11/30/2023
Docket/Case Number:	2023-0358
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Aegis Capital Corp.
Product Type:	No Product
Allegations:	On November 6, 2023, without admitting or denying the findings, Mok entered into an Acceptance, Waiver and Consent ("AWC") with FINRA wherein Mok consented to the entry of findings that, on April 25, 2022, Mok effected eleven transactions in a customer's non-discretionary account without the customer's authorization, knowledge, or consent. Also, between November 2020 and October 2022, Mok exercised discretionary authority with respect to 108 trades in the non-discretionary accounts of nine other customers without obtaining prior written authorization from the customers and without having the accounts accepted as discretionary by Edward Jones. Mok agreed to a two-month suspension from FINRA in all capacities and to the payment of a fine in the amount of \$10,000.
Current Status:	Final
Resolution:	Consent



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:

02/15/2024

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Other: Order of Revocation was vacated. Respondent agreed to pay fine of \$500.
Respondent agreed to not reapply as a broker-dealer, agent, investment adviser or investment adviser representative in Maryland.

Monetary Sanction 1 of 1

Monetary Related Sanction:

Civil and Administrative Penalty(ies)/Fine(s)

Total Amount:

\$500.00

Portion Levied against individual:

\$500.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

02/15/2024

Was any portion of penalty waived?

No

Amount Waived:

Reporting Source:

Individual

Regulatory Action Initiated By:

Maryland

Sanction(s) Sought:

Revocation

Date Initiated:

11/30/2023

Docket/Case Number:

2023-0358

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

Aegis Capital Corp.

Product Type:

No Product

Allegations:

On November 6, 2023, without admitting or denying the findings, Mok entered into an Acceptance, Waiver and Consent ("AWC") with FINRA wherein Mok consented to the entry of findings that, on April 25, 2022, Mok effected eleven transactions in a customer's non-discretionary account without the customer's authorization, knowledge, or consent. Also, between November 2020 and October 2022, Mok exercised discretionary authority with respect to 108 trades in the non-discretionary accounts of nine other customers without obtaining prior written authorization from the customers and without having the accounts accepted as discretionary by Edward Jones. Mok agreed to a two-month suspension from FINRA in all capacities and to the payment of a fine in the amount of \$10,000.

Current Status:

Final



Resolution:	Consent and Order
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:	02/15/2024
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Other: Order of Revocation was vacated. Respondent agreed to pay fine of \$500. Respondent agreed to not reapply as a broker-dealer, agent, investment adviser or investment adviser representative in Maryland.
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$500.00
Portion Levied against individual:	\$500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	02/15/2024
Was any portion of penalty waived?	No
Amount Waived:	
Disclosure 2 of 2	
Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	11/14/2023
Docket/Case Number:	2022075150801
Employing firm when activity occurred which led to the regulatory action:	Edward D. Jones & Co., L.P.
Product Type:	Other: Unspecified Securities
Allegations:	Without admitting or denying the findings, Mok consented to the sanctions and to the entry of findings that she effected trades in a customer's non-discretionary account without the customer's authorization, knowledge, or consent. The findings stated that Mok's member firm later offered to reverse the trades, but the customer declined. The findings also stated that Mok exercised discretionary authority with respect to trades in nine other customers' accounts without obtaining prior written authorization from the customers and without having the accounts accepted as discretionary by her firm.
Current Status:	Final



Resolution:	Acceptance, Waiver & Consent(AWC)
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:	11/14/2023
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
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?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: All Capacities
Duration: two months
Start Date: 12/04/2023
End Date: 02/03/2024

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$10,000.00
Portion Levied against individual: \$10,000.00
Payment Plan:
Is Payment Plan Current:
Date Paid by individual: 11/21/2023
Was any portion of penalty waived? No

Amount Waived:

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Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought:
Date Initiated: 11/14/2023
Docket/Case Number: [2022075150801](#)
Employing firm when activity occurred which led to the regulatory action: Edward D. Jones & Co., L.P.



Product Type:	Other: Unspecified Securities
Allegations:	Without admitting or denying the findings, registered representative Mok consented to the sanctions and to the entry of findings that she effected trades in a customer's non-discretionary account without the customer's authorization, knowledge, or consent. The findings stated that Mok's member firm later offered to reverse the trades, but the customer declined. The findings also stated that Mok exercised discretionary authority with respect to trades in nine other customers' accounts without obtaining prior written authorization from the customers and without having the accounts accepted as discretionary by her firm.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	11/14/2023
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	Two months
Start Date:	12/04/2023
End Date:	02/03/2024
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$10,000.00
Portion Levied against individual:	\$10,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	11/06/2023
Was any portion of penalty waived?	No
Amount Waived:	



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

Reporting Source: Firm
Firm Name: EDWARD JONES
Termination Type: Discharged
Termination Date: 02/09/2023
Allegations: Concerns registered representative did not adhere to Firm policies relating to discretionary orders.
Product Type: Equity Listed (Common & Preferred Stock)
Mutual Fund

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Reporting Source: Individual
Firm Name: Edward Jones
Termination Type: Discharged
Termination Date: 02/09/2023
Allegations: Concerns registered representative did not adhere to Firm policies relating to discretionary orders.
Product Type: Equity Listed (Common & Preferred Stock)
Mutual Fund



End of Report

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