



IAPD Report

Yuanfang Jiao

CRD# 6709149

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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

Yuanfang Jiao (CRD# 6709149)

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 **08/19/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	TRANSAMERICA FINANCIAL ADVISORS, LLC	CRD# 16164	11/28/2016
IA	TRANSAMERICA FINANCIAL ADVISORS, LLC	CRD# 16164	09/10/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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
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No information reported.

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

Employment 1 of 1

Firm Name: **TRANSAMERICA FINANCIAL ADVISORS, LLC**
Main Address: TWO LIBERTY PLACE
50 SOUTH 16TH STREET, SUITE 3700
PHILADELPHIA, PA 19102
Firm ID#: 16164

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	11/28/2016
B	Arizona	Agent	Approved	01/17/2020
B	California	Agent	Approved	12/22/2016
IA	California	Investment Adviser Representative	Approved	09/10/2020
B	Florida	Agent	Approved	08/19/2025
B	Illinois	Agent	Approved	09/15/2020
B	Indiana	Agent	Approved	04/01/2021
B	Kansas	Agent	Approved	05/01/2020
B	Maryland	Agent	Approved	04/06/2017
B	New Jersey	Agent	Approved	12/13/2023
IA	New Jersey	Investment Adviser Representative	Approved	12/13/2023
B	Oregon	Agent	Approved	04/06/2017
B	Texas	Agent	Approved	04/06/2017



Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	04/01/2021
B Utah	Agent	Approved	10/15/2021
B Washington	Agent	Approved	04/06/2017

Branch Office Locations

TRANSAMERICA FINANCIAL ADVISORS, LLC
2901 Wilcrest Dr.
#318
HOUSTON, TX 77042



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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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/28/2016

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	08/27/2020
Uniform Securities Agent State Law Examination (S63)	Series 63	12/21/2016

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:

No information reported.

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
03/2024 - Present	H&R Block	tax associate	N	Leander, TX, United States
01/2024 - Present	Aetna Inc	Agent	N	Hartford, CT, United States
01/2024 - Present	Inland Empire Health Plan	agent	N	Rancho Cucamonga, CA, United States
08/2023 - Present	Azimuth Risk Solutions	Agent	N	Indianapolis, IN, United States
08/2023 - Present	Insubuy	Agent	N	Plano, TX, United States
08/2023 - Present	International Medical Group	agent	N	Indianapolis, IN, United States
08/2023 - Present	Trawick Internatinal Inc.	agent	N	Fairhope, AL, United States
08/2023 - Present	WorldTrips Travel Insurance	Agent	N	Carmel, IN, United States
01/2022 - Present	Sharp Health Plan	Business Associate	N	San Diego,, CA, United States
05/2021 - Present	LegacyShield Solutions, Inc.	Agent	N	Ponte Vedra Beach, FL, FL, United States
10/2020 - Present	CIGNA HEALTH INSURANCE	INDEPENDENT AGENT	N	BLOOMFIELD, CT, United States
12/2018 - Present	Anthem Blue Cross	Agent /	Y	Indianapolis, IN, United States
12/2018 - Present	Blue Sheild of California (Health Insurance)	Producer	N	San Francisco, CA, United States
12/2018 - Present	Covered California	Agent	Y	Sacramento, CA, United States
12/2018 - Present	KAISER PERMANENTE	AGENT	Y	BURBANK, CA, United States
12/2018 - Present	Valley Health Plan	Agent	Y	San Jose, CA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2016 - Present	TRANSAMERICA FINANCIAL ADVISORS, LLC	Registered Representative	Y	HOUSTON, TX, United States
02/2016 - Present	WFGIA	Agent	Y	HOUSTON, TX, United States
09/2015 - 05/2019	CALIFORNIA STATE UNIVERSITY EAST BAY	FACULTY	N	HAYWARD, 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.

Sales of insurance and non insurance products, part-time or full-time, for companies affiliated with Transamerica Financial Advisors, Inc.

Sharp Health Plan / 0122-Present / Investment Related: No / 8520 Tech Way, Suite 200, San Diego, CA 92123 / Business Associate / Health Insurance Agent / Hrs. Work Monthly: 5 / Sec Trading Hrs:1 /Help people apply for health insurance

LegacyShield Solutions, Inc. / 0521-Present / Investment Related: No / 100 Executive Way #105 Ponte Vedra Beach, FL 32082/Agent / Independent Agent / Hrs Work Monthly: 10 / Sec Trading Hrs: 0 / Help people who would like to buy Estate Planning package. It was WFG???'s referral business.

CIGNA HEALTH INSURANCE[900 COTTAGE GROVE RD. BLOOMFIELD, CT 06002]HEALTH INSURANCE PRODUCER[INDEPENDENT AGENT[10.19.2020]10 HOURS A MONTH[0 HOUR DURING SECURITIES TRADING]HELP CLIENTS APPLY FOR HEALTH INSURANCE.

KAISER PERMANENTE/ emp dates: 1218 TO PRESENT/ INVESTMENT RELATED: YES /address: 3100 THORNTON AVE BURBANK, CA 91504 / position: AGENT/ nature of business: HEALTH INSURANCE REPRESENTATIVE/ hrs work monthly:2/ Sec trading hrs:0/ duties: SELL HEALTH INSURANCE

Anthem Blue Cross /1218-present / INVESTMENT RELATED: Yes / 120 Monument Circle Indianapolis, IN 46204 / Agent / Health Insurance / hrs work monthly: 2 / Sec trading hrs: 0 / Sell Health Insurance

Valley Health Plan /1218-present / INVESTMENT RELATED: Yes / 2480 N. First St. Suite 200 San Jose, CA 95131/ Agent / Health Insurance / hrs work monthly: 2 / Sec trading hrs: 0 / Sell Health Insurance

INSUBUY POSITION: Agent NATURE: health insurance INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 1 START DATE: 08/01/2023 ADDRESS: 4200 Mapleshade Ln STE 200, Plano TX 75093, United States DESCRIPTION: sell health insurance for travellers

TRAWICK INTERNATINAL INC. POSITION: agent NATURE: health insurance INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 1 START DATE: 08/01/2023 ADDRESS: 300 Fairhope Ave ste g, Fairhope AL 36532, United States DESCRIPTION: sell health insurance

WORLDTRIPS TRAVEL INSURANCE POSITION: Agent NATURE: Medical Insurance INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 1 START DATE: 08/01/2023 ADDRESS: 4 Carter Green #400, Carmel IN



Registration & Employment History



OTHER BUSINESS ACTIVITIES

46032, United States DESCRIPTION: Sell health medical insurance for travellers

INTERNATIONAL MEDICAL GROUP POSITION: agent NATURE: Medical Insurance INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 1 START DATE: 08/01/2023 ADDRESS: 2960 N Meridian St, Indianapolis IN 46208, United States DESCRIPTION: sell medical/health insurance

AZIMUTH RISK SOLUTIONS POSITION: Agent NATURE: Medical Insurance INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 1 START DATE: 08/01/2023 ADDRESS: 8520 Allison Pointe Blvd # 220, Indianapolis IN 46250, United States DESCRIPTION: sell medical insurance

AETNA INC POSITION: Agent NATURE: Health Insurance Sales INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2024 ADDRESS: 151 Farmington Ave, Hartford CT 06156, United States DESCRIPTION: provide health insurance solutions

INLAND EMPIRE HEALTH PLAN POSITION: agent NATURE: Insurance Sales INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2024 ADDRESS: 10801 Sixth Street, Rancho Cucamonga CA 91730, United States DESCRIPTION: sell Health Insurance

H&R BLOCK POSITION: tax associate NATURE: Tax Preparation INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 0 START DATE: 03/15/2024 ADDRESS: 651 N Highway 183, Ste 230, Leander TX 78641, United States DESCRIPTION: prepare tax documents for clients

Covered California / 1218-Present / Investment Related: Yes /Sacramento, CA / Agent / N Health Insurance / hrs work monthly: 2 / Sec trading hrs: 0 / Sell Health Insurance



End of Report

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