



## IAPD Report

# Qiang Lu

CRD# 7086444

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7



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

### Qiang Lu (CRD# 7086444)

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 **05/27/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	HSBC SECURITIES (USA) INC.	CRD# 19585	03/05/2026
<b>IA</b>	HSBC SECURITIES (USA) INC.	CRD# 19585	03/05/2026

### QUALIFICATIONS

This representative is currently registered in **14** SRO(s) and **13** 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>	TRANSAMERICA FINANCIAL ADVISORS, LLC	16164	BELLEVUE, WA	05/05/2025 - 02/09/2026
<b>B</b>	TRANSAMERICA FINANCIAL ADVISORS, LLC	16164	BELLEVUE, WA	02/25/2025 - 02/09/2026
<b>IA</b>	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	BELLEVUE, WA	07/03/2019 - 11/12/2021

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 **13** jurisdiction(s) and 14 SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **HSBC SECURITIES (USA) INC.**  
Main Address: 66 HUDSDON BOULEVARD EAST  
NEW YORK, NY 10001  
Firm ID#: 19585

Regulator	Registration	Status	Date
<b>B</b> Cboe BYX Exchange, Inc.	General Securities Representative	Approved	03/05/2026
<b>B</b> Cboe BZX Exchange, Inc.	General Securities Representative	Approved	03/05/2026
<b>B</b> Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	03/05/2026
<b>B</b> Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	03/05/2026
<b>B</b> Cboe Exchange, Inc.	General Securities Representative	Approved	03/05/2026
<b>B</b> FINRA	General Securities Representative	Approved	03/05/2026
<b>B</b> Investors' Exchange LLC	General Securities Representative	Approved	03/05/2026
<b>B</b> NYSE American LLC	General Securities Representative	Approved	03/05/2026
<b>B</b> NYSE Arca, Inc.	General Securities Representative	Approved	03/05/2026
<b>B</b> Nasdaq ISE, LLC	General Securities Representative	Approved	03/05/2026
<b>B</b> Nasdaq PHLX LLC	General Securities Representative	Approved	03/05/2026
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	03/05/2026
<b>B</b> Nasdaq Texas, LLC	General Securities Representative	Approved	03/05/2026



### Qualifications

Regulator	Registration	Status	Date
B New York Stock Exchange	General Securities Representative	Approved	03/05/2026
B California	Agent	Approved	03/25/2026
B Colorado	Agent	Approved	04/06/2026
B Georgia	Agent	Approved	04/10/2026
IA Georgia	Investment Adviser Representative	Approved	04/10/2026
B Hawaii	Agent	Approved	04/14/2026
B Indiana	Agent	Approved	04/10/2026
B Nevada	Agent	Approved	04/13/2026
B New Jersey	Agent	Approved	03/26/2026
B New York	Agent	Approved	03/26/2026
IA North Carolina	Investment Adviser Representative	Approved	04/09/2026
B North Carolina	Agent	Approved	04/10/2026
B Oregon	Agent	Approved	04/16/2026
B Texas	Agent	Approved	03/27/2026
IA Texas	Investment Adviser Representative	Restricted Approval	03/27/2026
B Utah	Agent	Approved	04/10/2026
IA Utah	Investment Adviser Representative	Approved	04/10/2026
B Washington	Agent	Approved	03/05/2026



## Qualifications

Regulator	Registration	Status	Date
IA Washington	Investment Adviser Representative	Approved	03/05/2026

### Branch Office Locations

#### HSBC SECURITIES (USA) INC.

196 Bellevue Way NE  
One88 Bellevue Building  
BELLEVUE, WA 98004



## 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 3 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
------	----------	------

No information reported.

#### General Industry/Product Exams

Exam	Category	Date
------	----------	------

General Securities Representative Examination (S7TO)	Series 7TO	05/21/2019
--	------------	------------

Securities Industry Essentials Examination (SIE)	SIE	04/15/2019
--	-----	------------

#### State Securities Law Exams

Exam	Category	Date
------	----------	------

Uniform Investment Adviser Law Examination (S65)	Series 65	05/03/2025
--	-----------	------------

Uniform Securities Agent State Law Examination (S63)	Series 63	05/03/2025
--	-----------	------------

Uniform Combined State Law Examination (S66)	Series 66	07/02/2019
--	-----------	------------

### 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	05/05/2025 - 02/09/2026	TRANSAMERICA FINANCIAL ADVISORS, LLC	CRD# 16164	BELLEVUE, WA
B	02/25/2025 - 02/09/2026	TRANSAMERICA FINANCIAL ADVISORS, LLC	CRD# 16164	BELLEVUE, WA
IA	07/03/2019 - 11/12/2021	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	BELLEVUE, WA
B	05/21/2019 - 11/12/2021	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	BELLEVUE, WA

### 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
03/2026 - Present	HSBC SECURITIES (USA) INC	WEALTH RELATIONSHIP MANAGER	Y	BELLEVUE, WA, United States
02/2026 - Present	HSBC BANK USA, N.A.	WEALTH RELATIONSHIP MANAGER	Y	BELLEVUE, WA, United States
02/2025 - 02/2026	Transamerica Financial Advisors LLC	Registered Representative	Y	BELLEVUE, WA, United States
10/2024 - 02/2026	WFGIA	Agent	Y	BELLEVUE, WA, United States
11/2025 - 01/2026	Howbuy Corporation	Administrative supporting	N	Bellevue, WA, United States
12/2021 - 09/2024	CITIGROUP SERVICES AND TECHNOLOGY (CHINA) LIMITED	MANAGING DIRECTOR, HEAD OF CHINA EQUITY	N	SHANGHAI, China
03/2019 - 11/2021	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	Financial Advisor Trainee - FADP	Y	BELLEVUE, WA, United States
01/2019 - 03/2019	Unemployed	Unemployed	N	Bellevue, WA, United States
09/2017 - 01/2019	HSBC Qianhai Securities Co., Ltd	Managing Director, Head of Brokerage	Y	Shenzhen, China
08/2016 - 09/2017	Hongkong and Shanghai Banking Corporation	Managing Director, Great China Business Development	Y	Hong Kong, Hong Kong



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2010 - 07/2016	Orient Securities Co., Ltd	Deputy Head of Wealth Management Dept	Y	Shanghai, China

### 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.

Dual hatted as agent of HSBC Insurance Agency (USA) Inc., a wholly owned subsidiary of HSBC Bank USA N.A., offering whole life, universal life, term life, and other types of insurance. Annuities and variable life insurance products are offered by HSBC Securities (USA) Inc.



## End of Report

This page is intentionally left blank.