

*This brochure supplement provides information about ShangChen Lu that supplements the TransGlobal Advisory LLC brochure. You should have received a copy of that brochure. Please contact ShangChen Lu if you did not receive TransGlobal Advisory LLC's brochure or if you have any questions about the contents of this supplement.*

*Additional information about ShangChen Lu is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).*

## **TransGlobal Advisory LLC**

### **Form ADV Part 2B – Individual Disclosure Brochure**

*for*

### **ShangChen Lu**

Personal CRD Number: 7828228

Investment Adviser Representative

TransGlobal Advisory LLC  
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(626) 447-7888  
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UPDATED: 11/22/2023

## Item 2: Educational Background and Business Experience

**Name:** ShangChen Lu      **Born:** 1987

### **Educational Background and Professional Designations:**

#### **Education:**

Master Business Administration, Nanyang Technological University - 2021  
Master International Business, National Cheng Chi University - 2012  
Bachelor Hydraulic and Ocean Engineering, National Cheng Kung University - 2010

#### **Designations:**

##### **CFA – Chartered Financial Analyst**

The Chartered Financial Analyst (CFA) charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute - the largest global association of investment professionals.

There are currently more than 90,000 CFA charterholders working in 134 countries. To earn the CFA charter, candidates must: 1) pass three sequential, six-hour examinations; 2) have at least four years of qualified professional investment experience; 3) join CFA Institute as members; and 4) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

##### **High Ethical Standards**

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA charterholders to:

- Place their clients' interests ahead of their own
- Maintain independence and objectivity
- Act with integrity
- Maintain and improve their professional competence
- Disclose conflicts of interest and legal matters

##### **Global Recognition**

Passing the three CFA exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level). Earning the CFA charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today's quickly

evolving global financial industry. As a result, employers and clients are increasingly seeking CFA charterholders-often making the charter a prerequisite for employment.

Additionally, regulatory bodies in 22 countries and territories recognize the CFA charter as a proxy for meeting certain licensing requirements, and more than 125 colleges and universities around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.

### **Comprehensive and Current Knowledge**

The CFA Program curriculum provides a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment profession. The three levels of the CFA Program test a proficiency with a wide range of fundamental and advanced investment topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management, and wealth planning.

The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession.

To learn more about the CFA charter, visit [www.cfainstitute.org](http://www.cfainstitute.org).

### **Business Background:**

10/2023 - Present	Investment Adviser Representative TransGlobal Advisory LLC
10/2023 - Present	Financial analyst TransGlobal Advisory LLC
03/2021 - 08/2022	Portfolio manager/financial analyst AtonRa Partners SA
07/2019 - 01/2021	NA Student
09/2015 - 09/2018	Investment Banking Associate KGI Securities
06/2012 - 08/2015	Relationship Manager Taishin International Bank

### **Item 3: Disciplinary Information**

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

### **Item 4: Other Business Activities**

ShangChen Lu is not engaged in any investment-related business or occupation (other than this advisory firm).

### **Item 5: Additional Compensation**

ShangChen Lu does not receive any economic benefit from any person, company, or organization, other than TransGlobal Advisory LLC in exchange for providing clients advisory services through TransGlobal Advisory LLC.

### **Item 6: Supervision**

As a representative of TransGlobal Advisory LLC, ShangChen Lu is supervised by Yong Wang, the firm's Chief Compliance Officer. Yong Wang is responsible for ensuring that ShangChen Lu adheres to all required regulations regarding the activities of an Investment Adviser Representative, as well as all policies and procedures outlined in the firm's Code of Ethics and compliance manual. The phone number for Yong Wang is (626) 447-7888.

## Item 7: Requirements For State Registered Advisers

*This disclosure is required by state securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.*

A. ShangChen Lu has NOT been involved in any of the events listed below.

1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
  - a) an investment or an investment-related business or activity;
  - b) fraud, false statement(s), or omissions;
  - c) theft, embezzlement, or other wrongful taking of property;
  - d) bribery, forgery, counterfeiting, or extortion; or
  - e) dishonest, unfair, or unethical practices.
2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
  - a) an investment or an investment-related business or activity;
  - b) fraud, false statement(s), or omissions;
  - c) theft, embezzlement, or other wrongful taking of property;
  - d) bribery, forgery, counterfeiting, or extortion; or
  - e) dishonest, unfair, or unethical practices.

B. ShangChen Lu has NOT been the subject of a bankruptcy.