

BrokerCheck Report

SHAMROCK TRADING GROUP LLC

CRD# 136513

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When communicating online or investing with any professional, make sure you know who you're dealing with. <u>Imposters</u> might link to sites like BrokerCheck from <u>phishing</u> or similar scam websites, or through <u>social media</u>, trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

What is included in a BrokerCheck report?

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

• Where did this information come from?

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - o information that regulators report regarding disciplinary actions or allegations against firms or brokers.

How current is this information?

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.
- What if I want to check the background of an investment adviser firm or investment adviser representative?
- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at https://www.adviserinfo.sec.gov. In the alternative, you may search the IAPD website directly or contact your state securities regulator at http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414.
- Are there other resources I can use to check the background of investment professionals?
- FINRA recommends that you learn as much as possible about an investment professional before
 deciding to work with them. Your state securities regulator can help you research brokers and investment adviser
 representatives doing business in your state.

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For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

www.finra.org/brokercheck User Guidance

SHAMROCK TRADING GROUP LLC

CRD# 136513

SEC# 8-67021

Main Office Location

440 S. LASALLE STREET STE. 1208 CHICAGO, IL 60605

Mailing Address

175 W. JACKSON BLVD. STE. 400 CHICAGO, IL 60604

Business Telephone Number

312 604-8000

Report Summary for this Firm



This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a limited liability company. This firm was formed in Illinois on 06/30/2005. Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This brokerage firm is no longer registered with FINRA or a national securities exchange.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm?

No

Registration Withdrawal Information

This section provides information relating to the date the brokerage firm ceased doing business and the firm's financial obligations to customers or other brokerage firms.



Date firm ceased business: 07/13/2006

Does this brokerage firm owe any money or securities to any customer or brokerage firm?

This firm is classified as a limited liability company.

This firm was formed in Illinois on 06/30/2005.

Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

SHAMROCK TRADING GROUP LLC

Doing business as SHAMROCK TRADING GROUP LLC

CRD# 136513

SEC# 8-67021

Main Office Location

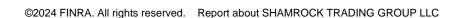
440 S. LASALLE STREET STE. 1208 CHICAGO, IL 60605

Mailing Address

175 W. JACKSON BLVD. STE. 400 CHICAGO, IL 60604

Business Telephone Number

312 604-8000



This section provides information relating to all direct owners and executive officers of the brokerage firm.



Direct Owners and Executive Officers

Legal Name & CRD# (if any): O'CONNOR & COMPANY LLC

14020

Is this a domestic or foreign entity or an individual?

Domestic Entity

Position MEMBER

Position Start Date 06/2005

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm?

Yes

Is this a public reporting company?

No

Legal Name & CRD# (if any):

FLOERSCH, WILLIAM CARL

2376600

Is this a domestic or foreign entity or an individual?

Individual

Position

PRESIDENT

Position Start Date

06/2005

Percentage of Ownership

Less than 5%

Does this owner direct the management or policies of the firm?

Yes

No

Is this a public reporting

company?

Legal Name & CRD# (if any): HENNESSY, CAROL GRACE

1693095

Is this a domestic or foreign entity or an individual?

Individual

Position CFO





Position Start Date

06/2005

Percentage of Ownership

Less than 5%

Does this owner direct the management or policies of

Yes

the firm?

Is this a public reporting

company?

No

Legal Name & CRD# (if any):

JORDAN, DONALD ROBERT

2367047

Is this a domestic or foreign entity or an individual?

Individual

Position

TRADING PRINCIPAL

Position Start Date

06/2005

Percentage of Ownership

Less than 5%

Does this owner direct the management or policies of

the firm?

Yes

Is this a public reporting

company?

No

This section provides information relating to any indirect owners of the brokerage firm.



Indirect Owners

Legal Name & CRD# (if any): THE WILLIAM F. O'CONNOR FOUNDATION

Is this a domestic or foreign entity or an individual?

Domestic Entity

Company through which indirect ownership is established

O'CONNOR & CO. LLC

Relationship to Direct Owner

MEMBER

Relationship Established

05/1999

Percentage of Ownership

50% but less than 75%

Does this owner direct the management or policies of the firm?

Yes

Is this a public reporting company?

No

Legal Name & CRD# (if any):

O'CONNOR INVESTMENT PARTNERSHIP

Is this a domestic or foreign entity or an individual?

Domestic Entity

Company through which indirect ownership is

O'CONNOR & CO. LLC

established
Relationship to Direct Owner

MEMBER

Relationship Established

12/1999

Percentage of Ownership

25% but less than 50%

Does this owner direct the management or policies of the firm?

Yes

Is this a public reporting company?

No

Legal Name & CRD# (if any):

CERMAK, MARK EDWARD

2321768

Is this a domestic or foreign

Individual

User Guidance



Indirect Owners (continued)

entity or an individual?

Company through which indirect ownership is established

O'CONNOR & CO. LLC

Relationship to Direct Owner

MANAGER

Relationship Established

03/1996

Percentage of Ownership

Other General Partners

Does this owner direct the management or policies of

Yes

the firm?

Is this a public reporting

company?

No

Legal Name & CRD# (if any):

FLOERSCH, WILLIAM CARL

2376600

Is this a domestic or foreign entity or an individual?

Individual

Company through which indirect ownership is established

O'CONNOR & CO. LLC

Relationship to Direct Owner

MANAGER

Relationship Established

03/1996

Percentage of Ownership

Other General Partners

Does this owner direct the management or policies of the firm?

Yes

Is this a public reporting company?

No

HENNESSY, CAROL GRACE

1693095

Is this a domestic or foreign entity or an individual?

Legal Name & CRD# (if any):

Individual

Company through which indirect ownership is

O'CONNOR & CO. LLC

User Guidance



established

Relationship to Direct Owner MANAGER

Relationship Established 03/1996

Percentage of Ownership Other General Partners

Does this owner direct the management or policies of the firm?

Is this a public reporting company?

No

Yes

Legal Name & CRD# (if any):

O'CONNOR, EDMUND JOSEPH

1183823

Is this a domestic or foreign entity or an individual?

Individual

Company through which indirect ownership is

O'CONNOR & CO. LLC

Relationship to Direct Owner

MANAGER

Relationship Established

03/1996

Percentage of Ownership

Other General Partners

Does this owner direct the management or policies of the firm?

Yes

Is this a public reporting

No

company?

established



Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

FINCA

No information reported.

Registrations

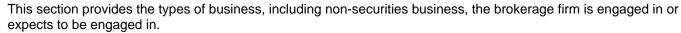
FINCA

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is no longer registered.

The firm's registration was from 12/27/2005 to 07/14/2006.

Types of Business



This firm currently conducts 1 type of business.

Types of Business

Trading securities for own account

Other Types of Business

This firm does effect transactions in commodities, commodity futures, or commodity options.

This firm does not engage in other non-securities business.

Non-Securities Business Description:





Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does not refer or introduce customers to other brokers and dealers.

Industry Arrangements



This firm does not have books or records maintained by a third party.

This firm does have accounts, funds, or securities maintained by a third party.

Name: O'CONNOR & COMPANY LLC

CRD #: 14020

Business Address: 175 W. JACKSON

STE. 400

CHICAGO, IL 60604

Effective Date: 06/30/2005

Description: THE APPLICANT WILL OPEN A PROPRIETARY TRADING ACCOUNT WITH

ITS PARENT CORPORATION, O'CONNOR & COMPANY LLC, IN WHICH IT

WILL TRADE FINANCIAL PRODUCTS FOR ITS OWN ACCOUNT.

This firm does not have customer accounts, funds, or securities maintained by a third party.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.



This firm is, directly or indirectly:

- · in control of
- · controlled by
- · or under common control with

the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

O'CONNOR & COMPANY LLC controls the firm.

CRD #: 14020

Business Address: 175 W. JACKSON

STE. 400

CHICAGO, IL 60604

Effective Date: 06/30/2005

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory

Activities:

No

Description: O'CONNOR & COMPANY LLC HAS CONTRIBUTED 100% OF THE CAPITAL OF

THIS LLC

This firm is not directly or indirectly, controlled by the following:

- bank holding company
- · national bank
- · state member bank of the Federal Reserve System
- state non-member bank
- · savings bank or association
- · credit union
- · or foreign bank

www.finra.org/brokercheck

End of Report



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