

BrokerCheck Report

DANIELLE DAYAN

CRD# 1073673

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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.

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
 - 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.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



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.](http://www.finra.org)

DANIELLE DAYAN

CRD# 1073673

Currently employed by and registered with the following Firm(s):

- B APEX CLEARING CORPORATION**
141 W. Jackson Blvd.
Suite 260
Chicago, IL 60604
CRD# 13071
Registered with this firm since: 04/26/2022

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications**This broker is registered with:**

- 21 Self-Regulatory Organizations
- 1 U.S. state or territory

This broker has passed:

- 0 Principal/Supervisory Exams
- 7 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History**This broker was previously registered with the following securities firm(s):**

- B ELECTRONIC TRANSACTION CLEARING, INC.**
CRD# 146122
Chicago, IL
04/2022 - 03/2023
- B ACS EXECUTION SERVICES, LLC**
CRD# 17972
RED BANK, NJ
09/2019 - 04/2022
- B ELECTRONIC TRANSACTION CLEARING, INC.**
CRD# 146122
DALLAS, TX
03/2017 - 01/2018

**Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 21 SROs and is licensed in 1 U.S. state or territory through his or her employer.

Employment 1 of 1

Firm Name: **APEX CLEARING CORPORATION**

Main Office Address: **ONE DALLAS CENTER
350 N. ST. PAUL, SUITE 1300
DALLAS, TX 75201**

Firm CRD#: **13071**

	SRO	Category	Status	Date
B	BOX Exchange LLC	General Securities Representative	Approved	04/26/2022
B	BOX Exchange LLC	Securities Trader	Approved	04/26/2022
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	04/26/2022
B	Cboe BYX Exchange, Inc.	Securities Trader	Approved	04/26/2022
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	04/26/2022
B	Cboe BZX Exchange, Inc.	Securities Trader	Approved	04/26/2022
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	04/26/2022
B	Cboe C2 Exchange, Inc.	Securities Trader	Approved	04/26/2022
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	04/26/2022
B	Cboe EDGA Exchange, Inc.	Securities Trader	Approved	04/26/2022
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	04/26/2022
B	Cboe EDGX Exchange, Inc.	Securities Trader	Approved	04/26/2022
B	Cboe Exchange, Inc.	General Securities Representative	Approved	04/26/2022
B	Cboe Exchange, Inc.	Securities Trader	Approved	04/26/2022
B	FINRA	General Securities Representative	Approved	04/26/2022



Broker Qualifications

Employment 1 of 1, continued

SRO	Category	Status	Date
B FINRA	Municipal Securities Representative	Approved	04/26/2022
B FINRA	Operations Professional	Approved	04/26/2022
B FINRA	Securities Trader	Approved	04/26/2022
B Investors' Exchange LLC	General Securities Representative	Approved	04/26/2022
B Investors' Exchange LLC	Securities Trader	Approved	04/26/2022
B MEMX LLC	General Securities Representative	Approved	11/21/2024
B MEMX LLC	Securities Trader	Approved	11/21/2024
B MIAX Emerald, LLC	General Securities Representative	Approved	04/26/2022
B MIAX Emerald, LLC	Securities Trader	Approved	04/26/2022
B MIAX PEARL, LLC	General Securities Representative	Approved	04/26/2022
B MIAX PEARL, LLC	Securities Trader	Approved	04/26/2022
B Miami International Securities Exchange, LLC	General Securities Representative	Approved	04/26/2022
B Miami International Securities Exchange, LLC	Securities Trader	Approved	04/26/2022
B NYSE American LLC	General Securities Representative	Approved	04/26/2022
B NYSE American LLC	Municipal Securities Representative	Approved	04/26/2022
B NYSE American LLC	Securities Trader	Approved	04/26/2022
B NYSE Arca, Inc.	General Securities Representative	Approved	04/26/2022
B NYSE Arca, Inc.	Securities Trader	Approved	04/26/2022
B NYSE Texas, Inc.	General Securities Representative	Approved	04/26/2022
B NYSE Texas, Inc.	Securities Trader	Approved	04/26/2022
B Nasdaq BX, Inc.	General Securities Representative	Approved	04/26/2022



Broker Qualifications

Employment 1 of 1, continued

SRO	Category	Status	Date
B Nasdaq BX, Inc.	Securities Trader	Approved	04/26/2022
B Nasdaq ISE, LLC	General Securities Representative	Approved	04/26/2022
B Nasdaq ISE, LLC	Securities Trader	Approved	04/26/2022
B Nasdaq PHLX LLC	General Securities Representative	Approved	04/26/2022
B Nasdaq PHLX LLC	Securities Trader	Approved	04/26/2022
B Nasdaq Stock Market	General Securities Representative	Approved	04/26/2022
B Nasdaq Stock Market	Securities Trader	Approved	04/26/2022
B New York Stock Exchange	General Securities Representative	Approved	04/26/2022
B New York Stock Exchange	Municipal Securities Representative	Approved	04/26/2022
B New York Stock Exchange	Securities Trader	Approved	04/26/2022

U.S. State/ Territory	Category	Status	Date
B Illinois	Agent	Approved	04/26/2022

Branch Office Locations

APEX CLEARING CORPORATION

141 W. Jackson Blvd.
Suite 260
Chicago, IL 60604



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 7 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Municipal Securities Representative Examination	Series 52TO	01/02/2023
B Securities Trader Exam	Series 57TO	01/02/2023
B Operations Professional Examination	Series 99TO	01/02/2023
B Securities Industry Essentials Examination	SIE	01/17/2018
B Limited Representative-Equity Trader Exam	Series 55	09/21/2010
B National Commodity Futures Examination	Series 3	06/30/1992
B General Securities Representative Examination	Series 7	07/16/1988

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	07/21/2008

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

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

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 04/2022 - 03/2023	ELECTRONIC TRANSACTION CLEARING, INC.	146122	Chicago, IL
B 09/2019 - 04/2022	ACS EXECUTION SERVICES, LLC	17972	RED BANK, NJ
B 03/2017 - 01/2018	ELECTRONIC TRANSACTION CLEARING, INC.	146122	DALLAS, TX
B 02/2015 - 02/2017	FOREST SECURITIES, INC.	16255	HILLSDALE, IL
B 07/2009 - 03/2013	CITADEL SECURITIES LLC	116797	CHICAGO, IL
B 06/2008 - 06/2009	GAR WOOD SECURITIES, LLC	138033	NAPERVILLE, IL
B 01/2004 - 07/2006	KNIGHT EQUITY MARKETS, L.P.	38599	CHICAGO, IL
B 10/1997 - 06/2006	KNIGHT CAPITAL MARKETS, LLC.	38379	PURCHASE, NY
B 10/1997 - 07/1999	KNIGHT SECURITIES, L.P.	38599	JERSEY CITY, NJ
B 06/1996 - 11/1997	TRADETECH SECURITIES L.P.	31131	CHICAGO, IL
B 09/1993 - 06/1996	GVR COMPANY	31172	CHICAGO, IL
B 10/1992 - 08/1993	INDOSUEZ CARR FUTURES, INC.	27322	CHICAGO, IL
B 07/1988 - 11/1991	DONALDSON, LUFKIN & JENRETTE SECURITIES CORPORATION	7560	JERSEY CITY, NJ

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
04/2022 - Present	APEX FINTECH SOLUTIONS	SENIOR CLIENT PARTNER	Y	CHICAGO, IL, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
09/2019 - 04/2022	ACS EXECUTION SERVICES	SALES	Y	Chicago, IL, United States
12/2017 - 09/2019	UNEMPLOYED	UNEMPLOYED	N	Chicago, IL, United States
03/2017 - 12/2017	ELECTRONIC TRANSACTION CLEARING, INC	Sales	Y	LOS ANGELES, CA, United States
12/2015 - 02/2017	Nordstroms	Floor Sales	N	Chicago, IL, United States
02/2015 - 02/2017	Forest Securities, Inc.	Business Development	Y	Chicago, IL, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

the name of the other business; Security Traders Association of Chicago (STAC)

whether the business is investment-related; yes

the address of the other business; 400 E Randolph St Suite 3115, Chicago, IL 60601

the nature of the other business; The organization works to improve ethics, business standards, and working environments for individual professionals in the securities industry.

your position; Advisor

title, or relationship with the other business; Advisor

the start date of your relationship; 01/2005

the approximate number of hours/month you devote to the other business; 4-8

the number of hours you devote to the other business during securities trading hours; 0

and briefly describe your duties relating to the other business; We have a monthly meeting every 2nd Tuesday for an hour. We also host industry events to mentor students, employees and industry novices to encourage networking, volunteering opportunities and educational regulatory updates. On those events, I will attend and help register attendees and any other tasks that are needed at that time.

End of Report



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