

BrokerCheck Report

DANIEL JAMES O'NEILL

CRD# 1358245

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

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:

- o 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.



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)

Thank you for using FINRA BrokerCheck.

DANIEL J. O'NEILL

CRD# 1358245

This broker is not currently registered.

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 not currently registered.

This broker has passed:

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

Registration History

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

- B AEGIS CAPITAL CORP.**
CRD# 15007
MELVILLE, NY
04/2013 - 07/2021
- B LADENBURG THALMANN & CO. INC.**
CRD# 505
MELVILLE, NY
03/2011 - 05/2013
- B MAXIM GROUP LLC**
CRD# 120708
WOODBURY, NY
08/2007 - 04/2011

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? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1
Customer Dispute	2
Termination	1
Judgment/Lien	6

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 broker is not currently registered.



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.

This individual has passed 0 principal/supervisory exams, 2 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 Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	07/20/1985

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	08/06/1985

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 04/2013 - 07/2021	AEGIS CAPITAL CORP.	15007	MELVILLE, NY
B 03/2011 - 05/2013	LADENBURG THALMANN & CO. INC.	505	MELVILLE, NY
B 08/2007 - 04/2011	MAXIM GROUP LLC	120708	WOODBURY, NY
B 11/2004 - 08/2007	WACHOVIA SECURITIES, LLC	19616	MANHASSET, NY
B 02/2002 - 11/2004	OPPENHEIMER & CO. INC.	249	NEW YORK, NY
B 05/2000 - 03/2002	FIRST MONTAUK SECURITIES CORP.	13755	RED BANK, NJ
B 09/1997 - 05/2000	JANNEY MONTGOMERY SCOTT LLC	463	PHILADELPHIA, PA
B 12/1995 - 09/1997	FIRST ALBANY CORPORATION	298	NEW YORK, NY
B 08/1997 - 09/1997	JANNEY MONTGOMERY SCOTT INC.	463	
B 03/1990 - 01/1996	PRIME CHARTER LTD.	25668	NEW YORK, NY
B 05/1989 - 03/1990	BEAR, STEARNS & CO. INC.	79	NEW YORK, NY
B 02/1988 - 06/1989	DREXEL BURNHAM LAMBERT INCORPORATED	7323	
B 01/1988 - 02/1988	OPPENHEIMER & CO., INC.	630	
B 07/1985 - 02/1988	L. F. ROTHSCHILD & CO. INCORPORATED	501	

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
04/2013 - Present	AEGIS CAPITAL CORP	REGISTERED REPRESENTATIVE	Y	MELVILLE, NY, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
03/2011 - 04/2013	LADENBURG THALMANN & CO. INC.	FINANCIAL CONSULTANT	Y	MELVILLE, NY, 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.

- 1) SUFFOLK COUNTY BASKETBALL SECTION XI, REFEREE AS OF 11/06, 260 MIDDLE COUNTY ROAD, SMITHTOWN, NY 11787. SEASONAL FROM NOV - FEB, 6 HOURS/WEEK (24 HRS/MONTH), NO HOURS DURING SECURITIES TRADING HOURS.
- 2) ACC AGENCY, INC., 1305 WALT WHITMAN RD., SUITE 120 MELVILLE NY 11747; INSURANCE GENERAL AGENCY, INVESTMENT RELATED; PRODUCER/AGENT; START DATE: 04/18/2016; 5-10 HOURS PER MONTH DEVOTED TO BUSINESS.
- 3) NYC DEPARTMENT OF EDUCATION, 52 CHAMBERS ST. NEW YORK, NY 10007; NOT INVESTMENT RELATED; SUBSTITUTE TEACHER AND P/T COACH (AFTER SCHOOL); START DATE: 10/11/2018; 10-12 HOURS PER MONTH DEVOTED TO BUSINESS; 0 HOURS DURING SECURITIES TRADING HOURS UNLESS NEEDED AND COVERAGE WILL BE PROVIDED.



Disclosure Events

What you should know about reported disclosure events:

1. 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.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - § A "pending" event involves allegations that have not been proven or formally adjudicated.
 - § An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - § A "final" event has been concluded and its resolution is not subject to change.
 - o A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - § An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - § A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - § A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	1	0	0
Customer Dispute	1	1	N/A
Termination	N/A	1	N/A
Judgment/Lien	6	N/A	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Pending

This type of disclosure event involves a pending formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory agency such as the Securities and Exchange Commission, foreign financial regulatory body) for alleged violations of investment-related rules or regulations.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	07/29/2021
Docket/Case Number:	2021070337301
Employing firm when activity occurred which led to the regulatory action:	Aegis Capital Corp.
Product Type:	Other: Unspecified Securities
Allegations:	O'Neill was named a respondent in a FINRA complaint alleging that he excessively and unsuitably traded one of his customer's accounts. The complaint alleges that O'Neill exercised de facto control over the trading in the customer's account, controlling the volume and frequency of trading, deciding what securities to buy and sell, the quantities, the price, and when each trade would occur. O'Neill also exercised control when he executed unauthorized trades in the customer's account. The trading in the customer's account was also excessive when measured against the annualized turnover rate and cost-to-equity ratio. O'Neill's intentional, active trading caused the customer to incur \$140,109 in costs and \$147,411 in losses, while generating substantial commissions for O'Neill. O'Neill's trading generated gross sales credits and commissions of \$110,446, of which O'Neill received at least \$66,000. O'Neill did not have a reasonable basis to



believe that the level of trading he recommended was suitable for the customer. The complaint also alleges that O'Neill effected trades in the customer's account without first obtaining authorization or consent for the trades from the customer.

Current Status:

Pending



Customer Dispute - Settled

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	AEGIS CAPITAL CORP
Allegations:	TIME FRAME: MAY 2013 THROUGH JUNE 2015 ALLEGATIONS INCLUDE UNAUTHORIZED TRADES AND MISUSE OF MARGIN.
Product Type:	Other: UNSPECIFIED
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES UNSPECIFIED. THE FIRM HAS MADE A GOOD FAITH DETERMINATION THAT THE DAMAGES FROM THE ALLEGED CONDUCT WOULD BE GREATER THAN \$5,000.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	02/16/2016
Complaint Pending?	No
Status:	Settled
Status Date:	03/13/2017
Settlement Amount:	\$12,500.00
Individual Contribution Amount:	\$0.00
Broker Statement	I DENY ALL CLAIMS AND ALLEGATIONS. I HAVE BEEN A REGISTERED REPRESENTATIVE SINCE FEBRUARY 1986, AND THIS IS THE FIRST TIME I HAVE EVER RECEIVED A CUSTOMER COMPLAINT. I REALIZE THE SETTLEMENT AMOUNT WAS LESS COSTLY AND TIME EFFICIENT, IN LIEU OF GOING TO ARBITRATION.



Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Aegis Capital Corp
Allegations:	Time frame: unspecified. Claimant alleges unsuitable investments.
Product Type:	No Product
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Damages from the alleged conduct is estimated to be \$5k or more.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	Finra; Philadelphia, PA
Docket/Case #:	21-00273
Filing date of arbitration/CFTC reparation or civil litigation:	02/01/2021

Customer Complaint Information

Date Complaint Received:	02/03/2021
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Employer Name:	Aegis Capital Corp
Termination Type:	Discharged
Termination Date:	07/29/2021
Allegations:	Representative failed to keep the firm apprised of the status of the pending enforcement investigation which resulted in the initiation of a formal enforcement proceeding against the representative. Representative named in an enforcement proceeding alleging conduct inconsistent with firm standards.
Product Type:	No Product



Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 6

Reporting Source:	Broker
Judgment/Lien Holder:	INTERNAL REVENUE SERVICE
Judgment/Lien Amount:	\$2,008.82
Judgment/Lien Type:	Tax
Date Filed with Court:	09/19/2019
Date Individual Learned:	10/11/2019
Type of Court:	IRS
Name of Court:	INTERNAL REVENUE SERVICE
Location of Court:	PHILADELPHIA, PA
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 6

Reporting Source:	Broker
Judgment/Lien Holder:	INTERNAL REVENUE SERVICE
Judgment/Lien Amount:	\$4,923.92
Judgment/Lien Type:	Tax
Date Filed with Court:	09/19/2019
Date Individual Learned:	10/11/2019
Type of Court:	IRS
Name of Court:	INTERNAL REVENUE SERVICE
Location of Court:	PHILADELPHIA, PA
Judgment/Lien Outstanding?	Yes

Disclosure 3 of 6

Reporting Source:	Broker
Judgment/Lien Holder:	Internal Revenue Service



Judgment/Lien Amount: \$6,060.07
Judgment/Lien Type: Tax
Date Filed with Court: 12/21/2017
Date Individual Learned: 01/19/2018
Type of Court: IRS
Name of Court: INTERNAL REVENUE SERVICE ACS/CDP
Location of Court: PHILADELPHIA, PA
Judgment/Lien Outstanding? Yes

Disclosure 4 of 6

Reporting Source: Broker
Judgment/Lien Holder: INTERNAL REVENUE SERVICE
Judgment/Lien Amount: \$40,864.00
Judgment/Lien Type: Tax
Date Filed with Court: 10/17/2016
Date Individual Learned: 11/20/2016
Type of Court: State Court
Name of Court: SUFFOLK COUNTY CLERK
Location of Court: SUFFOLK COUNTY NY
Docket/Case #: SQFED 00024462
Judgment/Lien Outstanding? Yes

Disclosure 5 of 6

Reporting Source: Broker
Judgment/Lien Holder: LADENBURG THALMANN & CO., INC.
Judgment/Lien Amount: \$30,000.00
Judgment/Lien Type: Civil
Date Filed with Court: 05/21/2013
Type of Court: State Court



Name of Court: SUPREME COURT OF THE STATE OF NEW YORK
Location of Court: SUFFOLK COUNTY, NEW YORK
Docket/Case #: 13587-13
Judgment/Lien Outstanding? Yes

Disclosure 6 of 6

Reporting Source: Broker
Judgment/Lien Holder: INTERNAL REVENUE SERVICE
Judgment/Lien Amount: \$56,151.00
Judgment/Lien Type: Tax
Date Filed with Court: 05/01/2012
Type of Court: SUFFOLK COUNTY CLERK
Name of Court: SUFFOLK COUNTY CLERK
Location of Court: SUFFOLK COUNTY, NEW YORK
Docket/Case #: 1031056
Judgment/Lien Outstanding? Yes

End of Report



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