



## IAPD Report

# DANIEL JOSEPH MCCLORY

CRD# 1390780

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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

### DANIEL JOSEPH MCCLORY (CRD# 1390780)

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 **01/07/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	BOUSTEAD SECURITIES, LLC	CRD# 141391	07/25/2016
B	SUTTER SECURITIES INCORPORATED	CRD# 30770	11/27/2019
B	SUTTER SECURITIES CLEARING, LLC	CRD# 134742	01/15/2020
IA	SUTTER CAPITAL PARTNERS, LLC	CRD# 312689	01/07/2026

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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
IA	SUTTER CAPITAL PARTNERS, LLC	312689	IRVINE, CA	05/05/2021 - 12/31/2025
IA	SUTTER CAPITAL PARTNERS, LLC	288442	IRVINE, CA	07/08/2017 - 07/21/2021
B	SUTTER SECURITIES CLEARING, LLC	134742	IRVINE, CA	09/18/2017 - 11/21/2019

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?

**Yes**

The following types of events are disclosed about this representative:

Type	Count
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## Report Summary

Customer Dispute 1



## 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 **9** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 4

Firm Name: **SUTTER CAPITAL PARTNERS, LLC**  
Main Address: 6 VENTURE  
SUITE 395  
IRVINE, CA 92168  
Firm ID#: 312689

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved - Pending IAR CE	01/07/2026

#### Branch Office Locations

**SUTTER CAPITAL PARTNERS, LLC**  
6 VENTURE  
SUITE 395  
IRVINE, CA 92168

#### Employment 2 of 4

Firm Name: **SUTTER SECURITIES INCORPORATED**  
Main Address: 6 VENTURE, SUITE 395  
SUITE 395  
IRVINE, CA 92618  
Firm ID#: 30770

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	11/27/2019
B	FINRA	Investment Banking Representative	Approved	11/27/2019
B	FINRA	Operations Professional	Approved	11/27/2019
B	California	Agent	Approved	11/27/2019
B	Connecticut	Agent	Approved	06/11/2021



## Qualifications

	Regulator	Registration	Status	Date
B	Florida	Agent	Approved	06/10/2021
B	Indiana	Agent	Approved	10/25/2021
B	Michigan	Agent	Approved	10/11/2021
B	New York	Agent	Approved	06/10/2021
B	North Carolina	Agent	Approved	10/06/2021
B	Puerto Rico	Agent	Approved	01/01/2024
B	Texas	Agent	Approved	10/06/2021

## Branch Office Locations

6 Venture  
Suite 265  
Irvine, CA 92618

6 Venture  
SUITE 395  
Irvine, CA 92618

## Employment 3 of 4

Firm Name: **BOUSTEAD SECURITIES, LLC**

Main Address: 6 VENTURE  
SUITE 395  
IRVINE, CA 92618

Firm ID#: 141391

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	07/25/2016
B	FINRA	Investment Banking Representative	Approved	07/25/2016
B	FINRA	Operations Professional	Approved	07/25/2016
B	California	Agent	Approved	07/25/2016
B	Florida	Agent	Approved	02/01/2021



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> Texas	Agent	Approved	04/21/2021

## Branch Office Locations

### MONARCH BAY SECURITIES, LLC

6 VENTURE  
SUITE 395  
IRVINE, CA 92618

## Employment 4 of 4

Firm Name: **SUTTER SECURITIES CLEARING, LLC**  
Main Address: 6 VENTURE  
SUITE 395  
IRVINE, CA 92618  
Firm ID#: 134742

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	01/15/2020
<b>B</b> FINRA	Investment Banking Representative	Approved	01/15/2020
<b>B</b> FINRA	Operations Professional	Approved	01/15/2020
<b>B</b> California	Agent	Approved	01/17/2020
<b>B</b> New York	Agent	Approved	03/17/2020

## Branch Office Locations

6 VENTURE  
SUITE 395  
IRVINE, CA 92618



## 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, 6 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.



#### General Industry/Product Exams

Exam	Category	Date
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	Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	06/03/2004
	Direct Participation Programs Representative Examination (S22)	Series 22	10/18/1985
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/20/1985

#### State Securities Law Exams

Exam	Category	Date
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		Uniform Combined State Law Examination (S66)	Series 66	08/09/2004
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### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor





representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



## 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	05/05/2021 - 12/31/2025	SUTTER CAPITAL PARTNERS, LLC	CRD# 312689	IRVINE, CA
IA	07/08/2017 - 07/21/2021	SUTTER CAPITAL PARTNERS, LLC	CRD# 288442	IRVINE, CA
B	09/18/2017 - 11/21/2019	SUTTER SECURITIES CLEARING, LLC	CRD# 134742	IRVINE, CA
B	01/26/2016 - 08/01/2016	BONWICK CAPITAL PARTNERS, LLC	CRD# 156469	LOS ANGELES, CA
B	02/11/2014 - 02/01/2016	BURNHAM SECURITIES INC.	CRD# 22549	NEW YORK, NY
B	06/04/2004 - 01/31/2014	HUNTER WISE SECURITIES, LLC	CRD# 104193	IRVINE, CA
B	11/04/1989 - 04/16/1991	CIGNA SECURITIES, INC.	CRD# 145	
B	08/21/1985 - 10/29/1988	CIGNA SECURITIES, INC.	CRD# 145	

### 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
07/2024 - Present	GameAbove Sports BIG3 Detroit Franchise Corp.	Owner	N	Ft Myers, FL, United States
01/2020 - Present	Sutter Securities Clearing, LLC	Managing Director	Y	Irvine, CA, United States
09/2019 - Present	Boustead Capital Markets, LLP	Director	Y	London, United Kingdom
09/2019 - Present	Sutter Securities, Inc.	Registered Representative	Y	San Francisco, CA, United States
11/2017 - Present	Cipher Ventures, LLC	Member	Y	Carson City, NV, United States
07/2017 - Present	Sutter Capital Partners LLC	Registered Investment Advisor	Y	Irvine, CA, United States
07/2016 - Present	Boustead & Company Limited	President	Y	Carson City, NV, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2016 - Present	Boustead Securities, LLC	Managing Director	Y	Irvine, CA, United States
07/2014 - Present	Running Deer Partners LLC	PRESIDENT	Y	Laguna Niguel, CA, United States
10/2013 - Present	Vilfredo Pareto & Cie Ltd.	Director	Y	Providenciales, Turks and Caicos Islands
01/2013 - Present	Pinehurst Partners LLC	PRESIDENT	Y	Boulder, CO, United States
11/2010 - Present	ENDOR ENTERPRISES LTD.	SECRETARY	Y	LAGUNA NIGUEL, CA, United States
10/2007 - Present	ORGANIC MINERALS (UK) LTD.	DIRECTOR	N	LONDON, United Kingdom
09/2007 - Present	VICEROY VENTURES LTD.	SECRETARY	Y	LAGUNA NIGUEL, CA, United States
10/2006 - Present	MONTEPAGANO SIM LTD.	PRESIDENT & SECRETARY	Y	CARROLLTON, TX, United States
03/2006 - Present	CADOGEN & CIE LIMITED	PRESIDENT & SECRETARY	N	ALISO VIEJO, CA, United States
10/1997 - Present	THE BOSPHOROUS GROUP, INC.	PRESIDENT & SECRETARY	Y	CARSON CITY, NV, United States
09/2017 - 11/2019	Sutter Securities Clearing, LLC	Managing Director	Y	Irvine, CA, United States
10/2011 - 11/2018	MELBANCA FINANZIARIO LTD.	DIRECTOR AND CHAIRMAN	Y	HONG KONG, China
01/2016 - 07/2016	BONWICK CAPITAL PARTNERS, LLC	Registered Representative	Y	LOS ANGELES, CA, United States
05/2015 - 05/2016	Fondinvest Capital SAS	Director	Y	Paris, France
08/2014 - 02/2016	NewLine Trading LTD.	Director	Y	Middlesex, United Kingdom
02/2014 - 02/2016	BURNHAM SECURITIES INC.	MANAGING DIRECTOR	Y	IRVINE, CA, United States

### 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.

Boustead & Company Ltd. (and Subs inc Boustead Group Ltd, Boustead & Co Ltd., Boustead Securities Ltd., Boustead Finance



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

Ltd., Edward Boustead & Co Ltd, Boustead Asset Management Ltd., Boustead Capital Ltd., Boustead & Clarke Ltd., Boustead Investment Fund PCC, Sutter Securities Group, Inc, FlashFunders Funding Portal, LLC, Shareholder Services, LLC, Initiate Advisors, LLC, Sutter Securities Clearing, LLC; Boustead Capital Markets LLP, Sutter Securities, Inc., Sutter Capital Management, LLC), IR, Carson City, NV, Jul 16, Holding Co, Owner, Director & CFO, 1 Hr/Mo;  
THE BOSPHOROUS GROUP. INC, MONTEPAGANO SIM LTD., VICEROY VENTURES LTD. Currently dormant.  
CADOGEN & CIE LTD., CONSULTING FIRM, 26895 ALISO CREEK RD. SUITE B-336, ALISO VIEJO, CA. PRESIDENT & SECRETARY. NOT INVESTMENT RELATED. 3/06 TO PRESENT. 2 HRs PER MONTH, NONE DURING SECURITIES TRADING HOURS. BUSINESS CONSULTING.  
ORGANIC MINERALS (UK) LTD.. 150 Minories, LONDON, EC3N 1LS, UK. DIRECTOR. NOT INVESTMENT RELATED  
ENDOR ENTERPRISES LTD. 37 CARDIFF, LAGUNA NIGUEL, CA 92677, TITLE: SECRETARY/SHAREHOLDER, START DATE 6/2011, currently dormant.  
PINEHURST PARTNERS LLC INVESTMENT-RELATED BUSINESS ADDRESS: 6525 GUNPARK DRIVE, SUITE 370-103, BOULDER, CO 80301 TITLE: MANAGING MEMBER START DATE: 1/2013 1HR/MONTH DUTIES: INVEST AND MANAGE ASSETS FOR PERSONAL ROTH IRA.  
RUNNING DEER PARTNERS LLC JULY 2014: LOCATED IN CA;OWNER, DIRECTOR; INVEST PERSONAL IRA FUNDS; ONE HOUR PER WEEK;0 COMP;  
The Bosphorous Group, Inc., 318 N. Carson St., Ste 208, Carson City, NV 89701, Pres, Financial Consulting & Holding Co, 10/1997, 5hrs/mo., zero during tradin hrs, investment-related, do not receive comp, manage personal inv.  
Montepagano SIM Ltd., 3610-2 N. Josey Lane, Suite 223, Carrollton, TX 75007, President, Financial Consulting, 10/2006, 1hr/mo., 0 during trading hrs., investment-related, no compensation, manage personal investments.  
Viceroy Ventures Ltd., 37 Cardiff, Laguna Niguel, CA 92677, 09/2007, Dormant.  
CIPHER VENTURES, LLC, IR, Carson City, NV 89701, HOLDING CO, MEMBER, NOV-17, dormant.  
Boustead Apex Inc; IR; Singapore; Business incubator; Co-Owner; Nov 2021; 4 hrs/mth.  
RoyaLand Company; IR; Boulder, CO; officer/director/co-owner; Jan 2022; 16 hr/month  
Boustead Apex Pte LTD 1 George Street #10-01 Singapore Feb 21, 2022, Singapore-based inv bank, investment-related business, 4 hours per month.  
Brera Holdings PLC, Dublin, Ireland and listed on Nasdaq ass "BREA." Exec Chairman &controlling shhldr.  
BREA Holdings LLC, 318 North Carson Street, Suite 208 Carson City, NV 89701.  
Azure Inc. (Boustead Monaco) 89 Nexus Way, Camana Bay Grand Cayman Start Date Nov 20, 2022, 5 hours per month  
Moris Inc. (Boustead Afribrains Mauritius) 89 Nexus Way, Camana Bay Grand Cayman Start Date Nov 20, 2022, 5 hours per month  
Sportcor Holdings Inc. (Australia)1 George Street, #10-01 Singapore Start Date Oct 23, 2022, Officer and Director. Currently Dormant.  
Boustead Ikonika Inc. 1 George Street, #10-01 Singapore/ Start Oct 23, 2022, Officer and Director Responsibilities 5 hours per m.  
Boustead Macrocapital, Inc. (London UK) 1 George Street, #10-01 One George Street Singapore Start Date Oct 23, 2022, Officer/Director Responsibilities 5 hours per month  
SELK Mediacom was Initiated on 3/27/23 in Milan Italy. Dormant.  
Americas Hldgs Inc. (Puerto Rico &Panama) Grand Cayman 030323 securities company holding co. Dir  
Game Above, (Advisory Board Member for charitable foundation) United States, No IR, 16hrs/months  
Calculated Risk, LLC / 318 N. Carson St. Ste 208, Carson City, NV 89701 / Investment related/Fund manager/Founder/start June 4, 2025 1 hour per week Calculated is manager of Tactical Growth Fd which engaged Sutter as PA  
Tactical Growth Fd, LLC / 318 N. Carson St. Ste 208, Carson City, NV 89701 / Inv related / Fund manager / Founder / start June 4, 2025 / 1 hour per week / Tactical is a Series LLC  
BTC Max Mgmt and BTC Max LLC/318 N. Carson Ste 208, Carson Cty / Inv rel / Founder/member 1 hr week



## Disclosure Summary

### Disclosure Information

**What you should know about reported disclosure events:**

**(1) Certain thresholds must be met before an event is reported to IARD, for example:**

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

**(2) Disclosure events in IAPD reports come from different sources:**

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

**(3) There are different statuses and dispositions for disclosure events:**

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

**(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.**



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1

### Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	Boustead Securities, LLC
<b>Allegations:</b>	Unreasonable underwriter compensation for the ATIF Holdings IPO. The ATIF Holdings IPO underwriter compensation was approved by FINRA Corporate Finance.
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	no amount is provided
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	10/25/2020
<b>Complaint Pending?</b>	No
<b>Status:</b>	Closed/No Action
<b>Status Date:</b>	12/13/2022



**Settlement Amount:**

**Individual Contribution  
Amount:**

**Broker Statement**

The complaint is without merit as FINRA Corporate Finance approved the underwriter compensation. I was personally named in the complaint as the Head of Underwriting for an engagement in which the Firm served as Underwriter. We intend to vigorously defend our actions.



## End of Report

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