



## IAPD Report

### DANIEL PATRICK O'HALLORAN

CRD# 1391521

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1 - 2
Qualifications	3 - 8
Registration and Employment History	9 - 10
Disclosure Information	11



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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 PATRICK O'HALLORAN (CRD# 1391521)

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 **07/30/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CHICAGO CAPITAL MANAGEMENT ADVISORS, LLC	CRD# 123483	12/07/2004
B	AMERICAN TRUST INVESTMENT SERVICES, INC.	CRD# 3001	01/07/2015
IA	AMERICAN TRUST INVESTMENT SERVICES ADVISORY, INC.	CRD# 299547	02/04/2019
IA	ASSET STRATEGIES, INC	CRD# 104512	08/09/2023

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **42** 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	ASSET STRATEGIES, INC	104512	LISLE, IL	07/21/2023 - 12/31/2024
IA	AMERICAN TRUST INVESTMENT SERVICES ADVISORY	3001	WHITING, IN	02/10/2015 - 04/01/2019
IA	LASALLE ST. INVESTMENT ADVISORS, L.L.C.	109701	ELMHURST, IL	01/09/2006 - 12/31/2014

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**



## Report Summary

The following types of events are disclosed about this representative:

Type	Count
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 42 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 4

Firm Name: **AMERICAN TRUST INVESTMENT SERVICES ADVISORY, INC.**

Main Address: 1244 119TH STREET  
WHITING, IN 46394

Firm ID#: 299547

Regulator	Registration	Status	Date
IA Illinois	Investment Adviser Representative	Approved	02/04/2019
IA Indiana	Investment Adviser Representative	Approved	02/14/2019
IA New York	Investment Adviser Representative	Approved	09/12/2025
IA Wisconsin	Investment Adviser Representative	Approved	06/27/2023

#### Branch Office Locations

**AMERICAN TRUST INVESTMENT SERVICES ADVISORY, INC.**

230 W. Monroe  
Suite 300  
Chicago, IL 60606

**AMERICAN TRUST INVESTMENT SERVICES ADVISORY, INC.**

230 West Monroe Street  
Suite 300  
Chicago, IL 60606

#### Employment 2 of 4

Firm Name: **ASSET STRATEGIES, INC**

Main Address: 4722 MAIN ST.  
LISLE, IL 60532

Firm ID#: 104512

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	08/09/2023
IA Georgia	Investment Adviser Representative	Approved	04/30/2025
IA Illinois	Investment Adviser Representative	Approved	03/11/2025



## Qualifications

Regulator	Registration	Status	Date
IA	Indiana Investment Adviser Representative	Approved	02/04/2025
IA	Ohio Investment Adviser Representative	Approved	01/30/2025

## Branch Office Locations

### ASSET STRATEGIES, INC

4722 MAIN ST.  
LISLE, IL 60532

## Employment 3 of 4

Firm Name: **AMERICAN TRUST INVESTMENT SERVICES, INC.**  
Main Address: 910 S EL CAMINO REAL SUITE 200  
SAN CLEMENTE, CA 92672  
Firm ID#: 3001

Regulator	Registration	Status	Date
B	FINRA General Securities Principal	Approved	01/07/2015
B	FINRA General Securities Representative	Approved	01/07/2015
B	Alabama Agent	Approved	10/29/2020
B	Arizona Agent	Approved	04/01/2020
B	Arkansas Agent	Approved	11/02/2020
B	California Agent	Approved	01/14/2020
B	Colorado Agent	Approved	01/10/2020
B	Connecticut Agent	Approved	01/31/2023
B	District of Columbia Agent	Approved	02/06/2023
B	Florida Agent	Approved	01/12/2015



## Qualifications

Regulator	Registration	Status	Date
B Georgia	Agent	Approved	01/08/2020
B Idaho	Agent	Approved	01/09/2020
B Illinois	Agent	Approved	01/09/2020
B Indiana	Agent	Approved	01/10/2020
B Kansas	Agent	Approved	07/17/2020
B Kentucky	Agent	Approved	01/06/2020
B Louisiana	Agent	Approved	02/06/2023
B Maine	Agent	Approved	10/07/2021
B Maryland	Agent	Approved	10/26/2021
B Massachusetts	Agent	Approved	05/04/2020
B Michigan	Agent	Approved	01/09/2020
B Minnesota	Agent	Approved	01/10/2020
B Missouri	Agent	Approved	08/23/2021
B Nebraska	Agent	Approved	05/06/2020
B Nevada	Agent	Approved	08/13/2021
B New Jersey	Agent	Approved	03/03/2020
B New Mexico	Agent	Approved	08/31/2021
B New York	Agent	Approved	01/24/2020
B North Carolina	Agent	Approved	01/14/2020



## Qualifications

Regulator	Registration	Status	Date
B Ohio	Agent	Approved	01/06/2020
B Oklahoma	Agent	Approved	01/13/2025
B Pennsylvania	Agent	Approved	02/09/2022
B Puerto Rico	Agent	Approved	11/08/2021
B South Carolina	Agent	Approved	04/26/2021
B South Dakota	Agent	Approved	01/16/2020
B Tennessee	Agent	Approved	10/29/2021
B Texas	Agent	Approved	01/06/2020
B Utah	Agent	Approved	01/24/2020
B Vermont	Agent	Approved	03/26/2020
B Virginia	Agent	Approved	05/07/2020
B Washington	Agent	Approved	01/22/2020
B West Virginia	Agent	Approved	02/19/2020
B Wisconsin	Agent	Approved	02/18/2020
B Wyoming	Agent	Approved	02/01/2023

## Branch Office Locations

**AMERICAN TRUST INVESTMENT SERVICES ADVISORY**  
230 W. MONROE SUITE 300  
CHICAGO, IL 60606

**AMERICAN TRUST INVESTMENT SERVICES ADVISORY**  
4722 Main Street  
Lisle, IL 60532

**AMERICAN TRUST INVESTMENT SERVICES ADVISORY**  
1244 119TH STREET  
WHITING, IN 46394



## Qualifications

### Employment 4 of 4

Firm Name: **CHICAGO CAPITAL MANAGEMENT ADVISORS, LLC**

Main Address: 4722 MAIN STREET  
LISLE, IL 60532

Firm ID#: 123483

Regulator	Registration	Status	Date
IA Illinois	Investment Adviser Representative	Approved	12/07/2004
IA Louisiana	Investment Adviser Representative	Approved	02/20/2023
IA Texas	Investment Adviser Representative	Approved	12/19/2022
IA Wisconsin	Investment Adviser Representative	Approved	07/13/2020

### Branch Office Locations

**CHICAGO CAPITAL MANAGEMENT ADVISORS, LLC**  
4722 MAIN STREET  
LISLE, IL 60532

**CHICAGO CAPITAL MANAGEMENT ADVISORS, LLC**  
4722 MAIN STREET  
LISLE, IL 60532



## 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 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	09/18/1986

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	07/20/1985

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	12/06/2004
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/31/1985

### PROFESSIONAL DESIGNATIONS

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

No information reported.



## 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	07/21/2023 - 12/31/2024	ASSET STRATEGIES, INC	CRD# 104512	LISLE, IL
IA	02/10/2015 - 04/01/2019	AMERICAN TRUST INVESTMENT SERVICES ADVISORY	CRD# 3001	WHITING, IN
IA	01/09/2006 - 12/31/2014	LASALLE ST. INVESTMENT ADVISORS, L.L.C.	CRD# 109701	ELMHURST, IL
B	11/20/2000 - 12/31/2014	LASALLE ST SECURITIES, L.L.C.	CRD# 7191	LISLE, IL
B	10/11/1990 - 11/16/2000	BARRON CHASE SECURITIES, INC.	CRD# 18969	BOCA RATON, FL
B	06/04/1990 - 06/25/1992	VANDERBILT SECURITIES, INC.	CRD# 14280	
B	11/08/1988 - 05/24/1990	B C FINANCIAL CORPORATION	CRD# 13460	
B	07/24/1985 - 11/05/1988	BLINDER, ROBINSON & CO., INC.	CRD# 5096	

### 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
03/2019 - Present	American Trust Investment Services Advisory, Inc	INVESTMENT ADVISOR REPRESENTATIVE	Y	Whiting, IN, United States
01/2015 - Present	AMERICAN TRUST INVESTMENT SERVICES, INC.	COO	Y	WHITING, IN, United States
12/2004 - Present	CHICAGO CAPITAL MANAGEMENT ADVISORS, LLC	INVESTMENT ADVISOR REPRESENTATIVE, CCO	Y	LISLE, IL, United States



## Registration & Employment History

### 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.

KANDO PARTNERS INC.- NON-OPERATIONAL;

CHICAGO BUSINESS MANAGERS LLC;

CHICAGO CAPITAL MANAGEMENT ADVISORS, LLC.- REGISTERED INVESTMENT ADVISORY. RIA;

FIXED INSURANCE;

UPWARD FOUNDATION - NON FOR PROFIT ORGANIZATION LESS THAN 1 HOUR NO COMPENSATION

American Trust Insurance Group, Inc.

American Trust Investment Advisory Group.



## 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

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	BARRON CHASE SECURITIES
Allegations:	<ul style="list-style-type: none"><li>1) BREACH OF CONTRACT AND WARRANTIES, PROMISSORY ESTOPPEL</li><li>2) VIOLATION OF THE ILLINOIS CONSUMER FRAUD &amp; DECEPTIVE PRACTICES ACT</li><li>3) VIOLATION OF THE 1934 SEC ACT</li><li>4) THE ILLINOIS SECURITIES ACT</li><li>5) CLAIMS UNDER COMMON LAW, INCLUDING A)FRAUD, B)UNJUST ENRICHMENT, C) BREACH OF FIDUCIARY DUTY, D)NEGLIGENCE, E) INTENTIONAL MENTAL DISTRESS</li><li>6) JOINT AND SEVERAL LIABILITY</li></ul>
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$80,000.00

### Customer Complaint Information

Date Complaint Received:	10/18/2000
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	10/18/2000
Settlement Amount:	
Individual Contribution Amount:	



## Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD CASE NUMBER 00-04520

**Date Notice/Process Served:** 10/18/2000

**Arbitration Pending?** Yes

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** BARRON CHASE

**Allegations:** CUSTOMER ALLEGES MISREPRESENTATIONS ON UNSUITABLE EQUITY TRANSACTIONS WHICH CREATED LOSSES IN HIS ACCOUNT.

**Product Type:** Equity - OTC

**Alleged Damages:** \$50,000.00

## Customer Complaint Information

**Date Complaint Received:** 09/05/2000

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 10/16/2000

**Settlement Amount:**

**Individual Contribution Amount:** \$0.00

## Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD-DR 00-04520

**Date Notice/Process Served:** 10/16/2000

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 07/11/2001

**Monetary Compensation Amount:** \$21,000.00

**Individual Contribution Amount:** \$5,000.00

**Broker Statement** I DENY THE ALLEGATIONS MADE IN THE STATEMENT OF CLAIM. CUSTOMER WAS MADE AWARE OF THE RISK ASSOCIATED WITH ACCOUNT; I'M NAMED SOLELY DUE TO MY STATUS AS BRANCH MANAGER OF THE OFFICE.



## End of Report

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