



IAPD Report

DANIEL JAMES O'SHEA

CRD# 2992633

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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.



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 JAMES O'SHEA (CRD# 2992633)

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 **12/03/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	04/01/2021
IA	ONYX BRIDGE WEALTH GROUP LLC	CRD# 306097	07/22/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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
B	PRIVATE CLIENT SERVICES, LLC	120222	TARRYTOWN, NY	03/06/2020 - 04/01/2021
B	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Tarrytown, NY	05/11/2018 - 02/13/2020
IA	AMERIPRISE FINANCIAL SERVICES, LLC.	6363	Tarrytown, NY	05/11/2018 - 02/13/2020

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
Customer Dispute	1
Termination	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 **8** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **ONYX BRIDGE WEALTH GROUP LLC**

Main Address: 120 WHITE PLAINS ROAD
SUITE 115
TARRYTOWN, NY 10591

Firm ID#: 306097

	Regulator	Registration	Status	Date
IA	Connecticut	Investment Adviser Representative	Approved	12/05/2025
IA	New Jersey	Investment Adviser Representative	Approved	12/05/2025
IA	New York	Investment Adviser Representative	Approved	07/22/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	12/08/2025

Branch Office Locations

ONYX BRIDGE WEALTH GROUP LLC

120 WHITE PLAINS ROAD
SUITE 115
TARRYTOWN, NY 10591

Employment 2 of 2

Firm Name: **PURSHE KAPLAN STERLING INVESTMENTS**

Main Address: 80 STATE STREET
ALBANY, NY 12207

Firm ID#: 35747

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	04/01/2021
B	Connecticut	Agent	Approved	04/12/2021



Qualifications

	Regulator	Registration	Status	Date
B	Florida	Agent	Approved	04/12/2021
B	Kentucky	Agent	Approved	01/30/2023
B	New York	Agent	Approved	04/01/2021
B	Pennsylvania	Agent	Approved	04/12/2021
B	South Carolina	Agent	Approved	10/16/2024

Branch Office Locations

120 White Plains Road
Suite 115
Tarrytown, NY 10591



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, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B Futures Managed Funds Examination (S31)	Series 31	07/08/1998
B General Securities Representative Examination (S7)	Series 7	01/29/1998

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	01/30/2007
B Uniform Securities Agent State Law Examination (S63)	Series 63	02/13/1998



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
B	03/06/2020 - 04/01/2021	PRIVATE CLIENT SERVICES, LLC	CRD# 120222	TARRYTOWN, NY
B	05/11/2018 - 02/13/2020	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	Tarrytown, NY
IA	05/11/2018 - 02/13/2020	AMERIPRISE FINANCIAL SERVICES, LLC.	CRD# 6363	Tarrytown, NY
IA	02/07/2007 - 05/15/2018	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	TARRYTOWN, NY
B	10/04/2006 - 05/15/2018	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	TARRYTOWN, NY
B	11/21/2000 - 10/02/2006	WACHOVIA SECURITIES, LLC	CRD# 19616	BRONX, NY
B	04/08/1998 - 11/03/2000	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	02/02/1998 - 03/15/1998	MAY, DAVIS GROUP INC.	CRD# 35622	NEW YORK, NY

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
04/2021 - Present	Purshe Kaplan Sterling Investments	Registered Rep	Y	Albany, NY, United States
03/2020 - Present	Onyx Bridge Wealth Group LLC	Investment Adviser Representative	Y	Tarrytown, NY, United States
03/2020 - 04/2021	PRIVATE CLIENT SERVICES	REGISTERED REP	Y	Tarrytown, NY, United States
05/2018 - 02/2020	Ameriprise Financial Services Inc	REGISTERED REPRESENTATIVE/IA R	Y	Tarrytown, NY, United States
11/2016 - 05/2018	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	BRONX, NY, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	BRONX, NY, 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.

- 1) Onyx Bridge Wealth Group; Investment Related; 120 White Plains Road, Suite 115, Tarrytown, NY 10591; RIA; Investment Adviser Representative; Start Date: 3/3/2020; hrs/mth: 40; hours during trading: 40; Duties: Portfolio Management
- 2) PKS Financial; Investment Related; 80 State Street, Albany, NY 12207; Fixed/Traditional Insurance; Agent; Start Date: 4/1/2021; hrs/mth 4, hours during trading: 4; Duties: Sales of Fixed/Traditional Insurance Products
- 3) Fixed Insurance; Investment Related; 120 White Plains Road, Suite 115, Tarrytown, NY 10591; Fixed/Traditional Insurance; Agent; Start Date: 4/1/2021; hrs/mth: 4; hours during trading: 4; Duties: Sales of Fixed/Traditional Insurance Products
- 4) Ardsley Engine Company; Not Investment Related; 5050 Ashford Avenue; Volunteer Fire Dept; President; Start Date: 01/01/2010; appx hrs/mth: 3; number of hours during trading: 0; Duties: run monthly meetings.



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
Termination	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:	MORGAN STANLEY DEAN WITTER
Allegations:	ALLEGED UNSUITABLE TRADING AND USE OF DISCRETION WITHOUT WRITTEN AUTHORIZATION.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$95,000.00

Customer Complaint Information

Date Complaint Received:	05/16/2000
Complaint Pending?	No
Status:	Settled
Status Date:	10/24/2000
Settlement Amount:	\$68,500.00
Individual Contribution Amount:	\$0.00
Firm Statement	MR. O'SHEA STATES: I WAS NEVER GIVEN THE CHANCE TO DEFEND MYSELF AGAINST THESE ALLEGATIONS. IT WAS ONLY AFTER THE [CUSTOMERS] PORTFOLIO LOST SIGNIFICANT VALUE AFTER THE MARKET CRASH IN MARCH 2000 THAT THEY MADE A COMPLAINT. THE [CUSTOMERS] NEVER VOICED ANY CONCERN OVER ANY TRADES MADE IN THEIR EIGHT



ACCOUNTS TO MANAGEMENT OR MYSELF PRIOR TO THE MAY 16, 2000 COMPLAINT. I NEVER CONTACTED LEGAL COUNSEL AT THE TIME OF THE COMPLAINT BELIEVING I WOULD BE INVOLVED IN EVERY STEP IN SETTING THE COMPLAINT. I WANTED TO FIGHT THESE ALLEGATIONS TO THE FULLEST EXTENT POSSIBLE AND WAS NOT GIVEN THE OPPORTUNITY.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DEAN WITTER

Allegations: ALLEGED UNSUITABLE TRADING AND USE OF DISCRETION WITHOUT WRITTEN AUTHORIZATION

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$95,000.00

Customer Complaint Information

Date Complaint Received: 05/16/2000

Complaint Pending? No

Status: Settled

Status Date: 10/24/2000

Settlement Amount: \$68,500.00

Individual Contribution Amount: \$0.00

Broker Statement I WAS NEVER GIVEN A CHANCE TO DEFEND MYSELF AGAINST THESE ALLEGATIONS. IT WAS ONLY AFTER THE [CUSTOMER'S] PORTFOLIO LOST SIGNIFICANT VALUE AFTER THE MARKET CRASH IN MARCH 2000 THAT THEY COMPLAINED. THE [CUSTOMERS] NEVER VOICED ANY CONCERN OVER ANY TRADES MADE IN THEIR 8 ACCOUNTS TO MANAGEMENT OR MYSELF PRIOR TO THE 5/16/2000 COMPLAINT. I NEVER CONTACTED LEGAL COUNSEL AT THE TIME OF THE COMPLAINT BELIEVING I WOULD BE INVOLVED IN EVERY STEP IN SETTLING THE COMPLAINT. I WANTED TO FIGHT THESE ALLEGATIONS TO THE FULLEST EXTENT POSSIBLE AND I WAS NOT GIVE THE OPPORTUNITY.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Individual

Firm Name: MORGAN STANLEY DEAN WITTER

Termination Type: Permitted to Resign

Termination Date: 11/02/2000

Allegations: VIOLATION OF FIRM POLICY REGARDING VERBAL DISCRETION

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Types:

Broker Statement

ON 5/16/00 VIRGINIA FAHY MADE AN ORAL COMPLAINT TO MANAGEMENT. I WAS TOLD THAT THE COMPLAINT INVOLVED UNSUITABLE INVESTMENTS AND USE OF DISCRETION. I WAS INFORMED OF THIS AND ASKED TO WRITE A BRIEF STATEMENT OF FACTS OF THE ACCOUNT. ON NOVEMBER 1, I WAS INFORMED BY RICH MARINO (BRANCH MANAGER) THAT MORGAN STANLEY WAS GOING TO SETTLE THE CASE FOR \$68,500. MORGAN STANLEY WAS NOT HOLDING ME FINANCIALLY RESPONSIBLE FOR ANY OF THE LOSSES BUT BECAUSE AN ALLEGATION WAS MADE, MORGAN STANLEY WANTED ME TO RESIGN MY POSITION. MY RESIGNATION BECAME EFFECTIVE NOVEMBER 2, 2000.



End of Report

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