



## IAPD Report

# ANDREW CRAIG ATSEFF

CRD# 4868153

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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

### ANDREW CRAIG ATSEFF (CRD# 4868153)

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 **01/12/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ROTHSCHILD WEALTH LLC	CRD# 162442	06/04/2012
B	ROTHSCHILD INVESTMENT LLC	CRD# 728	07/11/2024

### QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **1** 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	HALO SECURITIES, LLC	279029	CHICAGO, IL	03/17/2017 - 08/01/2023
IA	SENTINUS, LLC	162442	OAKBROOK, IL	06/04/2012 - 12/31/2017
B	WORLD EQUITY GROUP, INC.	29087	WHEATON, IL	03/17/2014 - 03/20/2017

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?

**No**






## 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 1 jurisdiction(s) and 2 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **ROTHSCHILD INVESTMENT**  
Main Address: 311 SOUTH WACKER DRIVE  
SUITE 5900  
CHICAGO, IL 60606-6677  
Firm ID#: 728

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	07/11/2024
	Nasdaq Stock Market	General Securities Representative	Approved	07/11/2024
	Illinois	Agent	Approved	02/13/2025


### Branch Office Locations

**ROTHSCHILD INVESTMENT**  
311 S. WACKER DRIVE  
SUITE 5900  
CHICAGO, IL 60606-6618

**ROTHSCHILD INVESTMENT**  
700 Commerce Drive  
Suite 170  
Oakbrook, IL 60523

### Employment 2 of 2

Firm Name: **ROTHSCHILD WEALTH LLC**  
Main Address: 700 COMMERCE DRIVE  
SUITE 170  
OAKBROOK, IL 60523  
Firm ID#: 162442

	Regulator	Registration	Status	Date
	Illinois	Investment Adviser Representative	Approved	06/04/2012

### Branch Office Locations

**ROTHSCHILD WEALTH LLC**  
700 COMMERCE DRIVE  
SUITE 170



## Qualifications

OAKBROOK, IL 60523



## 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>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b> General Securities Representative Examination (S7)	Series 7	10/14/2010
<b>B</b> Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/22/2004

#### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	11/15/2004
<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	11/10/2004



### 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	03/17/2017 - 08/01/2023	HALO SECURITIES, LLC	CRD# 279029	CHICAGO, IL
IA	06/04/2012 - 12/31/2017	SENTINUS, LLC	CRD# 162442	OAKBROOK, IL
B	03/17/2014 - 03/20/2017	WORLD EQUITY GROUP, INC.	CRD# 29087	WHEATON, IL
IA	03/17/2014 - 03/20/2017	WORLD EQUITY GROUP, INC.	CRD# 29087	WHEATON, IL
B	06/01/2012 - 03/20/2014	AUSDAL FINANCIAL PARTNERS, INC.	CRD# 7995	JOLIET, IL
B	11/23/2004 - 06/06/2012	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	JOLIET, IL
IA	11/11/2004 - 06/06/2012	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	JOLIET, IL
B	11/23/2004 - 05/05/2006	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	CRD# 2580	FORT WAYNE, IN

### 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
06/2024 - Present	ROTHSCHILD INVESTMENTS LLC	REGISTERED REPRESENTATIVE	Y	CHICAGO, IL, United States
06/2012 - Present	ROTHSCHILD WEALTH LLC	MANAGING DIRECTOR	Y	OAK BROOK, IL, United States
03/2017 - 08/2023	Halo Securities, LLC	Registered Representative	Y	OAK BROOK, IL, United States
03/2014 - 03/2017	WORLD EQUITY GROUP	REGISTERED REP	Y	WHEATON, 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.

INSURANCE AGENT  
LIFE AND HEALTH

ROTHSCHILD INVESTMENTS LLC  
BROKER DEALER  
REGISTERED REPRESENTATIVE  
SINCE 06/2024  
INVESTMENT RELATED

ROTHSCHILD WEALTH LLC  
INVESTMENT ADVISER  
MANAGING DIRECTOR  
SINCE 06/2012  
INVESTMENT RELATED





## End of Report

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