



IAPD Report

Adil Abbas

CRD# 5824570

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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

Adil Abbas (CRD# 5824570)

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 **11/25/2025**.

CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

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	ESI FINANCIAL ADVISORS	265	CHICAGO, IL	05/13/2025 - 11/24/2025
IA	MORGAN STANLEY	149777	Oak Brook, IL	01/10/2024 - 07/02/2024
IA	AMERIPRISE FINANCIAL SERVICES, LLC.	6363	CHICAGO, IL	04/17/2020 - 05/20/2020

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?

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 not currently registered as an Investment Adviser Representative.



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, 0 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
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/29/2023
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IA	B	Uniform Combined State Law Examination (S66)	Series 66	03/16/2017
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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	05/13/2025 - 11/24/2025	ESI FINANCIAL ADVISORS	CRD# 265	CHICAGO, IL
IA	01/10/2024 - 07/02/2024	MORGAN STANLEY	CRD# 149777	Oak Brook, IL
IA	04/17/2020 - 05/20/2020	AMERIPRISE FINANCIAL SERVICES, LLC.	CRD# 6363	CHICAGO, IL
IA	03/22/2017 - 05/15/2018	J.P. MORGAN SECURITIES LLC	CRD# 79	CHICAGO, IL

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
05/2025 - Present	EQUITY SERVICES INC	REGISTERED REPRESENTATIVE	Y	MONTPELIER, VT, United States
04/2025 - Present	NATIONAL LIFE GROUPO	AGENT	Y	CHICAGO, IL, United States
06/2024 - 04/2025	unemployed	unemployed	N	Dyer, IN, United States
11/2023 - 06/2024	MORGAN STANLEY	Client Service Assoc (FARS)	Y	Oak Brook, IL, United States
02/2023 - 10/2023	unemployed	unemployed	N	Dyer, IN, United States
07/2022 - 01/2023	Guggenheim Partners	Client Reporting Associate	Y	Chicago, IL, United States
02/2022 - 06/2022	Unemployed	unemployed	N	Dyer, IL, United States
01/2022 - 01/2022	Thomas Joseph Parks	Associate Agent	Y	Chicago, IL, United States
02/2021 - 01/2022	Adam Waitzman	Associate Agent	Y	Chicago, IL, United States
02/2021 - 01/2022	Benjamin Voigt	Associate Agent	Y	Chicago, IL, United States
02/2021 - 01/2022	Michael D Aquila	Associate Agent	Y	Chicago, IL, United States
02/2021 - 01/2022	Northwestern Mutual Investment Services LLC	Registered Representative	Y	Chicago, IL, United States
06/2020 - 02/2021	Adam Waitzman	Agent Assistant	Y	Chicago, IL, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2020 - 02/2021	Benjamin Voigt	Agent Assistant	Y	Chicago, IL, United States
06/2020 - 02/2021	Michael D Aquila	Agent Assistant	Y	Chicago, IL, United States
02/2020 - 05/2020	Ameriprise Financial	Associate	Y	Chicago, IL, United States
01/2020 - 01/2020	Unemployed	Unemployed	N	Benton Harbor, MI, United States
06/2018 - 12/2019	Transpose Vapes LLC	Manager	N	Austin, TX, United States
03/2019 - 07/2019	MidWest Family Broadcasting	Sales Representative	N	Benton Harbor, MI, United States
10/2018 - 12/2018	United Federal Credit Union	Member Service Consultant	Y	Berrien, MI, United States
12/2015 - 10/2018	Filmed By Jerell	Self Employed	N	Chicago, IL, United States
10/2016 - 05/2018	JP Morgan Securities LLC	Investment Support Sr. Specialist II	Y	Chicago, IL, United States
09/2016 - 09/2016	Unemployed	Unemployed	N	Griffith, IN, United States
11/2013 - 09/2016	Transamerica Financial Advisors/World Financial Group	Associate	Y	Schaumburg, IL, United States
02/2016 - 08/2016	Alliant Credit Union	Member Service Consultant	Y	Rolling Meadows, IL, 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.

*LAKESHORE FINANCIAL GROUP,1 N FRANKLIN STREET, SUITE 3450, CHICAGO, IL 60606,04/15/2025,ONGOING, DURING TRD/HRS, INV REL, INSURANCE AGENT,40 HRS/WK*NATIONAL LIFE,1 N FRANKLIN STREET, SUITE 3450,CHICAGO, IL 60606,04/15/2025,ONGOING,INV REL,DURING TRD/HRS,INSURANCE,AGENT, 40 HRS/WK.



End of Report

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