

*This brochure supplement provides information about John Daniel Connolly that supplements the Atlantis Asset Management, LLC brochure. You should have received a copy of that brochure. Please contact John Daniel Connolly if you did not receive Atlantis Asset Management, LLC's brochure or if you have any questions about the contents of this supplement.*

*Additional information about John Daniel Connolly is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).*

## **Atlantis Asset Management, LLC**

### **Form ADV Part 2B – Individual Disclosure Brochure**

*for*

**John Daniel Connolly**

Personal CRD Number: 1914820

Investment Adviser Representative

Atlantis Asset Management, LLC  
1675 York Avenue 14C  
New York, NY 10128  
(212) 256-1150  
[dconnolly@atlantisasset.com](mailto:dconnolly@atlantisasset.com)

UPDATED: 12/02/2024

## Item 2: Educational Background and Business Experience

**Name:** John Daniel Connolly **Born:** 1955

### **Educational Background and Professional Designations:**

#### **Education:**

BA Liberal Arts, Brooklyn College - 1984

#### **Business Background:**

08/2021 - Present	Registered Investment Advisor Atlantis Asset Management, LLC
01/2016 - Present	Agent Professional Group Plans
02/2015 - Present	Agent Levinson and Associates

## Item 3: Disciplinary Information

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

## Item 4: Other Business Activities

John Daniel Connolly is a licensed insurance agent. This activity creates a conflict of interest since there is an incentive to recommend insurance products based on commissions or other benefits received from the insurance company, rather than on the client's needs. Additionally, the offer and sale of insurance products by supervised persons of AAML are not made in their capacity as a fiduciary, and products are limited to only those offered by certain insurance providers. AAML addresses this conflict of interest by requiring its supervised persons to act in the best interest of the client at all times, including when acting as an insurance agent. AAML periodically reviews recommendations by its supervised persons to assess whether they are based on an objective evaluation of each client's risk profile and investment objectives rather than on the receipt of any

commissions or other benefits. AAML will disclose in advance how it or its supervised persons are compensated and will disclose conflicts of interest involving any advice or service provided. At no time will there be tying between business practices and/or services (a condition where a client or prospective client would be required to accept one product or service conditioned upon the selection of a second, distinctive tied product or service). No client is ever under any obligation to purchase any insurance product. Insurance products recommended by AAML's supervised persons may also be available from other providers on more favorable terms, and clients can purchase insurance products recommended through other unaffiliated insurance agencies.

AFLAC agent. Just started no commissions yet. Started this month. September.

### **Item 5: Additional Compensation**

John Daniel Connolly does not receive any economic benefit from any person, company, or organization, other than Atlantis Asset Management, LLC in exchange for providing clients advisory services through Atlantis Asset Management, LLC.

### **Item 6: Supervision**

As a representative of Atlantis Asset Management, LLC, John Daniel Connolly is supervised by Michael D Cohn, the firm's Chief Compliance Officer. Michael D Cohn is responsible for ensuring that John Daniel Connolly adheres to all required regulations regarding the activities of an Investment Adviser Representative, as well as all policies and procedures outlined in the firm's Code of Ethics and compliance manual. The phone number for Michael D Cohn is (212) 845-8501.

### **Item 7: Requirements For State Registered Advisers**

*This disclosure is required by state securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.*

A. John Daniel Connolly has not been involved in any of the events listed below.

1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
  - a) an investment or an investment-related business or activity;
  - b) fraud, false statement(s), or omissions;
  - c) theft, embezzlement, or other wrongful taking of property;

- d) bribery, forgery, counterfeiting, or extortion; or
    - e) dishonest, unfair, or unethical practices.
  - 2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
    - a) an investment or an investment-related business or activity;
    - b) fraud, false statement(s), or omissions;
    - c) theft, embezzlement, or other wrongful taking of property;
    - d) bribery, forgery, counterfeiting, or extortion; or
    - e) dishonest, unfair, or unethical practices.
- B. John Daniel Connolly has not been the subject of a bankruptcy petition.