

Item 1: Cover Page
Part 2B of Form ADV: Brochure Supplement
March 27, 2023

John G. O'Connell

John G. O'Connell
13592 Jemel Way
Irvine, CA 92620

Firm Contact:
John G. O'Connell
Chief Compliance Officer

This brochure supplement provides information about Mr. O'Connell that supplements our brochure. You should have received a copy of that brochure. Please contact Mr. O'Connell if you did not receive John G. O'Connell's brochure or if you have any questions about the contents of this supplement at (212)724-2506. Additional information about Mr. O'Connell is available on the SEC's website at www.adviserinfo.sec.gov by searching CRD #867729.

Item 2: Educational Background & Business Experience

John G O'Connell

Year of Birth: 1955

Educational Background:

- 1979: SF State University; Bachelor's of Arts in Economics
- 1976: Santa Rose J. C.; Associates of Arts

Business Background: Over 40 years of experience as a Professional Investment Advisor

- 09/2022 – Present John G. O'Connell; President
- 01/2022 – 09/2022 Alden Capital; Investment Adviser
- 09/2020 – 01/2022 National Securities Corporation; Investment Adviser & Registered Representative
- 05/2007 – 09/2020 FSIC; Investment Adviser Registered Representative
- 09/2022 – 05/2007 Raymond James, Investment Advisor, Registered Representative
- 08/2022 – 09/2002 1st Discount Brokerage, Inc., Registered Representative
- 05/1987 – 08/2002 Acument Securiteis, Registered Representative
- 06/1979 – 06/1098 Batemam Eichler, Hill Richards, Registered Representative

Exams, Licenses & Other Professional Designations:

- 2018: SIE Exam
- 1999: Series 65 Exam
- 1991: Series 24 Exam
- 1981: Series 63 Exam
- 1979: Series 7 Exam

Item 3: Disciplinary Information

There are no legal or disciplinary events material to the evaluation of Mr. O'Connell.

Item 4: Other Business Activities

Mr. O'Connell does not have any outside business activities to report.

Item 5: Additional Compensation

Mr. O'Connell does not receive any other economic benefit for providing advisory services in addition to advisory fees.

Item 6: Supervision

Mr. O'Connell is the sole owner and Chief Compliance Officer and as such has no internal supervision placed over him. He is, however, bound by our firm's Code of Ethics.

Item 7: Requirements for State-Registered Advisers

Mr. O'Connell has not been involved in any arbitration claim alleging damages in excess of \$2,500. Furthermore, he has neither been involved in nor found liable in any civil, self-regulatory organization, or administrative proceeding nor has been the subject of any bankruptcy petitions.