

## BrokerCheck Report

# GREGORY BAINES IGLOW

CRD# 2783963

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

## About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

[brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

[For more information about FINRA, visit www.finra.org.](http://www.finra.org)



## GREGORY B. IGLOW

CRD# 2783963

### Currently employed by and registered with the following Firm(s):

**IA OPPENHEIMER & CO. INC.**  
10880 WILSHIRE BOULEVARD  
LOS ANGELES, CA 90024  
CRD# 249  
Registered with this firm since: 06/14/2007

**B OPPENHEIMER & CO. INC.**  
10880 WILSHIRE BOULEVARD  
LOS ANGELES, CA 90024  
CRD# 249  
Registered with this firm since: 06/14/2007

## Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

### Broker Qualifications

#### This broker is registered with:

- 9 Self-Regulatory Organizations
- 27 U.S. states and territories

#### This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 1 State Securities Law Exam

### Registration History

#### This broker was previously registered with the following securities firm(s):

- IA RBC DAIN RAUSCHER INC.**  
CRD# 31194  
NEW YORK, NY  
02/2003 - 06/2007
- B RBC DAIN RAUSCHER INC.**  
CRD# 31194  
BEVERLY HILLS, CA  
02/2003 - 06/2007
- IA PRUDENTIAL SECURITIES INCORPORATED**  
CRD# 7471  
NEW YORK, NY  
03/2000 - 02/2003

### Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

#### The following types of disclosures have been reported:

Type	Count
Customer Dispute	9



## Broker Qualifications

### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

**This individual is currently registered with 9 SROs and is licensed in 27 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **OPPENHEIMER & CO. INC.**

Main Office Address: **85 BROAD STREET  
22ND,24TH FLOOR  
NEW YORK, NY 10004**

Firm CRD#: **249**

SRO	Category	Status	Date
B Cboe Exchange, Inc.	General Securities Representative	Approved	06/14/2007
B FINRA	General Securities Representative	Approved	06/14/2007
B NYSE American LLC	General Securities Representative	Approved	06/14/2007
B NYSE Arca, Inc.	General Securities Representative	Approved	08/24/2011
B NYSE Chicago, Inc.	General Securities Representative	Approved	08/24/2011
B Nasdaq ISE, LLC	General Securities Representative	Approved	12/10/2007
B Nasdaq PHLX LLC	General Securities Representative	Approved	08/24/2011
B Nasdaq Stock Market	General Securities Representative	Approved	06/14/2007
B New York Stock Exchange	General Securities Representative	Approved	06/14/2007

U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	06/14/2007
B California	Agent	Approved	06/14/2007
IA California	Investment Adviser Representative	Approved	06/14/2007
B Colorado	Agent	Approved	06/14/2007



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Delaware	Agent	Approved	12/22/2022
B	Florida	Agent	Approved	06/14/2007
B	Georgia	Agent	Approved	02/07/2019
B	Hawaii	Agent	Approved	02/19/2021
B	Idaho	Agent	Approved	04/24/2017
B	Illinois	Agent	Approved	06/14/2007
B	Indiana	Agent	Approved	01/09/2008
B	Maryland	Agent	Approved	03/22/2021
B	Michigan	Agent	Approved	09/25/2009
B	Minnesota	Agent	Approved	04/21/2016
B	Nebraska	Agent	Approved	03/11/2014
B	Nevada	Agent	Approved	06/14/2007
B	New Jersey	Agent	Approved	06/13/2008
B	New York	Agent	Approved	06/14/2007
B	North Carolina	Agent	Approved	11/04/2016
B	Ohio	Agent	Approved	04/13/2010
B	Oklahoma	Agent	Approved	06/22/2010
B	Oregon	Agent	Approved	04/29/2008
B	Pennsylvania	Agent	Approved	02/08/2018
B	Texas	Agent	Approved	07/26/2013
IA	Texas	Investment Adviser Representative	Restricted Approval	05/17/2017



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Utah	Agent	Approved	06/02/2021
B	Virginia	Agent	Approved	07/30/2007
B	Washington	Agent	Approved	07/11/2012
B	Wyoming	Agent	Approved	09/11/2017

### Branch Office Locations

**OPPENHEIMER & CO. INC.**  
10880 WILSHIRE BOULEVARD  
LOS ANGELES, CA 90024

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## Broker Qualifications

### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

**This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	01/20/1997

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	04/04/1997

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).

## Broker Qualifications



## Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.





## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 02/2003 - 06/2007	RBC DAIN RAUSCHER INC.	31194	BEVERLY HILLS, CA
<b>IA</b> 02/2003 - 06/2007	RBC DAIN RAUSCHER INC.	31194	BEVERLY HILLS, CA
<b>IA</b> 03/2000 - 02/2003	PRUDENTIAL SECURITIES INCORPORATED	7471	LOS ANGELES, CA
<b>B</b> 02/2000 - 02/2003	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
<b>B</b> 01/1997 - 02/2000	M.L. STERN & CO., LLC.	8327	BEVERLY HILLS, CA

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment	Employer Name	Position	Investment Related	Employer Location
06/2007 - Present	OPPENHEIMER & CO. INC.	FINANCIAL CONSULTANT	Y	LOS ANGELES, CA, United States

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

No information reported.



## Disclosure Events

### What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
  - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
  - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
    - A "pending" event involves allegations that have not been proven or formally adjudicated.
    - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" event has been concluded and its resolution is not subject to change.
  - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	2	7	N/A



## Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

### Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Regulator
<b>Employing firm when activities occurred which led to the complaint:</b>	RBC CAPITAL MARKETS CORPORATION AND OPPENHEIMER & CO. INC
<b>Allegations:</b>	BREACH OF FIDUCIARY DUTY, UNSUITABILITY, FRAUD, MISREPRESENTATION, NON-DISCLOSURE, OMISSION OF FACTS, AND NEGLIGENCE.
<b>Product Type:</b>	Other: COMPANY SECURITIES
<b>Alleged Damages:</b>	\$15,406.00
<b>Arbitration Information</b>	
<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	FINRA - CASE #09-05195
<b>Date Notice/Process Served:</b>	09/02/2009
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Award
<b>Disposition Date:</b>	05/13/2010
<b>Disposition Detail:</b>	RESPONDENT IS JOINTLY AND SEVERALLY LIABLE FOR AND SHALL PAY TO CLAIMANT COMPENSATORY DAMAGES OF \$15,406.00. RESPONDENT IS JOINTLY AND SEVERALLY LIABLE FOR AND SHALL PAY TO CLAIMANT INTEREST AT THE STATUTORY RATE OF TEN PERCENT (10%) PER ANNUM COMPOUNDED FROM JANUARY 1, 2009 TO APRIL 15, 2010, FOR AN



AMOUNT OF \$1,715.00.

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**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** RBC CAPITAL MARKETS CORPORATION

**Allegations:** CLIENT ALLEGES RECOMMENDATION OF TRIBUNE SECURITY WAS MISLEADING AND UNSUITABLE, IN PERIOD FEBRUARY 2006. HOWEVER, THE CLIENT DOES NOT MENTION IGLOW AS RECOMMENDING THIS PURCHASE. IGLOW WAS ONE OF TWO FINANCIAL CONSULTANTS ON THE ACCOUNT, ACCORDING TO THE CLAIMANT.

**Product Type:** Debt-Corporate

**Alleged Damages:** \$15,406.00

**Arbitration Information**

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA

**Docket/Case #:** 09-05195

**Date Notice/Process Served:** 10/16/2009

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 05/14/2010

**Monetary Compensation Amount:** \$15,406.00

**Individual Contribution Amount:** \$0.00

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**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** OPPENHEIMER & CO. INC.

**Allegations:** CLAIMANT ALLEGES THAT MR. IGLO & MR. ROSENMYER MADE AN UNSUITABLE INVESTMENT IN A CORPORATE BOND FOR HIM IN FEBRUARY 2006 WHILE THEY WERE EMPLOYED AT RBC DAIN RAUSHER, INC.



CLAIMANT TRANSFERRED HIS ACCOUNT TO OPPENHEIMER WHEN MR. IGLOW AND MR. ROSENMYER BEGAN WORKING FOR OPENHEIMER. THE COMPANY FILED FOR BANKRUPTCY IN DECEMBER 2008 AND LOST ALL OF HIS MONEY.

**Product Type:** Debt-Corporate

**Alleged Damages:** \$15,403.00

### Arbitration Information

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA

**Docket/Case #:** 09-05195

**Date Notice/Process Served:** 10/12/2009

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 05/14/2010

**Monetary Compensation Amount:** \$17,121.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** RESPONDENTS DENY ANY AND ALL WRONG DOING REGARDING THE TRANSACTIONS IN CLAIMANTS ACCOUNT. CLAIMANT'S LOSSES ARE DUE TO MARKET LOSSES AND RESPONDENTS WILL DEFEND AGAINST CLAIMANTS BASELESS ALLEGATIONS.



## Customer Dispute - Settled

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint

### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	OPPENHEIMER & CO. INC.
<b>Allegations:</b>	CLAIMANT ALLEGES MISREPRESENTATIONS AND OMISSIONS REGARDING AUCTION RATE SECURITIES PURCHASED BETWEEN DECEMBER 2007 AND JANUARY 2008.
<b>Product Type:</b>	Other: AUCTION RATE SECURITIES
<b>Alleged Damages:</b>	\$5,450,000.00

### Civil Litigation Information

<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	LOS ANGELES COUNTY SUPERIOR COURT
<b>Location of Court:</b>	LOS ANGELES
<b>Docket/Case #:</b>	BC427035
<b>Date Notice/Process Served:</b>	12/17/2009
<b>Litigation Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	03/16/2011
<b>Monetary Compensation Amount:</b>	\$3,164,250.00
<b>Individual Contribution Amount:</b>	\$0.00



## Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

### Disclosure 1 of 5

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	OPPENHEIMER & CO. INC.
<b>Allegations:</b>	CLAIMANTS ASSERT CLAIMS OF UNSUITABILITY, COMMON LAW FRAUD, BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, NEGLIGENCE SUPERVISION, VIOLATION OF CALIFORNIA'S ELDER ABUSE STATUTE, AND VIOLATION OF CALIFORNIA'S SECURITIES ACT BASED ON MISREPRESENTATIONS AND OMISSIONS IN CONNECTION WITH PURCHASES OF PUERTO RICAN BONDS IN CLAIMANTS' ACCOUNTS. FROM EARLY 2013 TO UNSPECIFIED.
<b>Product Type:</b>	Debt-Municipal Other: PUERTO RICAN BONDS
<b>Alleged Damages:</b>	\$300,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	18-02493
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	07/10/2018

### Customer Complaint Information

<b>Date Complaint Received:</b>	07/11/2018
<b>Complaint Pending?</b>	No
<b>Status:</b>	Withdrawn



**Status Date:** 06/20/2019

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

I at all times conducted myself in an appropriate and professional matter. I deny any and all of the i warranted and unsubstantiated allegations. The trades at issue were unsolicited as reflected in certain written correspondence to me in connection with their purchase. Moreover, the customers voluntarily withdrew the arbitration without prejudice.

#### Disclosure 2 of 5

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:**

OPPENHEIMER & CO. INC.

**Allegations:**

CLIENT ALLEGES THE INFORMATION REGARDING A SECURITY WAS OMMITTED AT THE TIME OF PURCHASE AND THAT THE SECURITY SHOULD NOT HAVE BEEN PURCHASED GIVEN THEIR HEALTH & AGE.

**Product Type:** Debt-Municipal

**Alleged Damages:** \$283,784.07

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** No

#### Customer Complaint Information

**Date Complaint Received:** 07/17/2014

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 08/01/2014

**Settlement Amount:**




**Individual Contribution Amount:**


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**Disclosure 3 of 5**

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	OPPENHEIMER & CO. INC.
<b>Allegations:</b>	CLIENT ALLEGES THAT INFORMATION REGARDING A SECURITY WAS OMMITTED AT THE TIME OF PURCHASE AND THAT THE SECURITY SHOULD NOT HAVE BEEN PURCHASED GIVEN THEIR HEALTH & AGE.
<b>Product Type:</b>	Debt-Municipal
<b>Alleged Damages:</b>	\$40,698.83
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

**Customer Complaint Information**

<b>Date Complaint Received:</b>	07/17/2014
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	08/01/2014
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	

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**Disclosure 4 of 5**

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	OPPENHEIMER & CO. INC.
<b>Allegations:</b>	CUSTOMER ALLEGES THAT HE WAS LIED TO AND THAT HIS BROKER WAS DISHONEST IN CONNECTION WITH THE CUSTOMERS PURCHASE ON



5/13/2008 OF FANNIE MAE PREFERRED. DAMAGES UNSPECIFIED BUT BELIEVED TO BE OVER \$5000.00.

**Product Type:** Debt - Corporate

**Alleged Damages:** \$0.00

### Customer Complaint Information

**Date Complaint Received:** 03/06/2009

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 04/15/2009

**Settlement Amount:**

**Individual Contribution Amount:**

### Disclosure 5 of 5

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** PSI

**Allegations:** CLIENT ALLEGES MISREPRESENTATION REGARDING THE PURCHASE OF BLACK ROCK INCOME MUNICIPAL INCOME TRUST FUND. DAMAGES CLAIMED ARE 11,500.00 BECAUSE HE WAS TOLD THERE WAS NO LOAD.

**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$11,500.00

### Customer Complaint Information

**Date Complaint Received:** 04/07/2003

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 05/16/2005

**Settlement Amount:**

**Individual Contribution Amount:**

**Firm Statement**

MATTER WAS DENIED.

**Reporting Source:**

Broker

**Employing firm when activities occurred which led to the complaint:**

PSI

**Allegations:**

CLIENT ALLEGES MISREPRESENTATION REGARDING THE PURCHASE OF BLOCK ROCK INCOME MUNIIPAL INCOME TRUST FUND. DAMAGES CLAIMED ARE \$11,500.00 BECAUSE HE WAS TOLD THERE WAS NO LOAD.

**Product Type:**

Mutual Fund(s)

**Alleged Damages:**

\$11,500.00

**Customer Complaint Information****Date Complaint Received:**

04/07/2003

**Complaint Pending?**

Yes

**Settlement Amount:****Individual Contribution Amount:**



## Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

### Disclosure 1 of 2

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	OPPENHEIMER & CO. INC.
<b>Allegations:</b>	Claimant alleges he suffered losses as of unsuitable investments and alleges claims for violations of state securities laws, negligence, unsuitability, fraud, breach of fiduciary duty and breach of contract in connection with Claimant's purchases of bonds. 09/2018 - PRESENT
<b>Product Type:</b>	Debt-Municipal Other: PRIVATE PLACEMENT
<b>Alleged Damages:</b>	\$3,000,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	In excess of \$3M
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	23-01541
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	05/25/2023

### Customer Complaint Information

<b>Date Complaint Received:</b>	05/25/2023
<b>Complaint Pending?</b>	Yes
<b>Settlement Amount:</b>	



**Individual Contribution Amount:**

**Broker Statement**

I at all times conducted myself in an appropriate and professional manner. I deny all allegations of wrongdoing, and intend to vigorously defend myself against the false, unwarranted and unsubstantiated allegations.

**Disclosure 2 of 2**

**Reporting Source:**

Broker

**Employing firm when activities occurred which led to the complaint:**

OPPENHEIMER & CO. INC.

**Allegations:**

Claimants allege Negligence/Unsuitability, Violations of California Securities Law, Violations of FINRA Rules & Federal Securities Laws, Breach of Contract, Negligent Supervision, Respondent Superior, and Breach of Contract based on misrepresentations and omissions in connection with purchases of Capital Trust Agency Florida Senior Living Bonds in 2019 and 2020

**Product Type:**

Debt-Municipal

**Alleged Damages:**

\$231,826.00

**Is this an oral complaint?**

No

**Is this a written complaint?**

Yes

**Is this an arbitration/CFTC reparation or civil litigation?**

Yes

**Arbitration/Reparation forum or court name and location:**

FINRA

**Docket/Case #:**

23-00735

**Filing date of arbitration/CFTC reparation or civil litigation:**

03/28/2023

**Customer Complaint Information**

**Date Complaint Received:**

03/29/2023

**Complaint Pending?**

Yes

**Settlement Amount:**

**Individual Contribution Amount:**



**Broker Statement**

I at all times conducted myself in an appropriate and professional manner. Prior to the purchase of the bonds at issue I had never spoken with the clients in regards to these bonds or recommended them. I deny all allegations of wrongdoing.

## End of Report



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