



IAPD Report

ERIC BRIAN ROSENBERG

CRD# 1027041

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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

ERIC BRIAN ROSENBERG (CRD# 1027041)

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 **04/28/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OPPENHEIMER & CO. INC.	CRD# 249	06/12/2013
IA	OPPENHEIMER & CO. INC.	CRD# 249	06/18/2013

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **10** 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	RBC CAPITAL MARKETS, LLC	31194	PARSIPPANY, NJ	10/09/2009 - 06/07/2013
IA	RBC CAPITAL MARKETS, LLC	31194	PARSIPPANY, NJ	10/09/2009 - 06/07/2013
IA	J. B. HANAUER & CO.	6958	PARSIPPANY, NJ	10/11/2002 - 10/09/2009

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? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	5
Termination	1



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 **10** jurisdiction(s) and 9 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **OPPENHEIMER & CO. INC.**
Main Address: 85 BROAD STREET
22ND FLOOR
NEW YORK, NY 10004
Firm ID#: 249

Regulator	Registration	Status	Date
B Cboe Exchange, Inc.	General Securities Representative	Approved	06/12/2013
B FINRA	General Securities Representative	Approved	06/12/2013
B NYSE American LLC	General Securities Representative	Approved	06/12/2013
B NYSE Arca, Inc.	General Securities Representative	Approved	06/12/2013
B NYSE Texas, Inc.	General Securities Representative	Approved	06/12/2013
B Nasdaq ISE, LLC	General Securities Representative	Approved	06/12/2013
B Nasdaq PHLX LLC	General Securities Representative	Approved	06/12/2013
B Nasdaq Stock Market	General Securities Representative	Approved	06/12/2013
B New York Stock Exchange	General Securities Representative	Approved	06/12/2013
B California	Agent	Approved	06/12/2013
B Colorado	Agent	Approved	01/20/2026
B Connecticut	Agent	Approved	06/12/2013
B Florida	Agent	Approved	09/12/2013



Qualifications

Regulator	Registration	Status	Date
B Illinois	Agent	Approved	12/20/2023
B Maryland	Agent	Approved	01/29/2021
IA New Jersey	Investment Adviser Representative	Approved	06/18/2013
B New Jersey	Agent	Approved	08/30/2013
B New York	Agent	Approved	06/12/2013
B Pennsylvania	Agent	Approved	06/12/2013
B Virginia	Agent	Approved	06/12/2013

Branch Office Locations

OPPENHEIMER & CO. INC.
666 3RD AVENUE
NEW YORK, NY 10017



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, 2 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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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	01/16/1982
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State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	06/20/2002
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Uniform Securities Agent State Law Examination (S63)	Series 63	05/28/1982
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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
B	10/09/2009 - 06/07/2013	RBC CAPITAL MARKETS, LLC	CRD# 31194	PARSIPPANY, NJ
IA	10/09/2009 - 06/07/2013	RBC CAPITAL MARKETS, LLC	CRD# 31194	PARSIPPANY, NJ
IA	10/11/2002 - 10/09/2009	J. B. HANAUER & CO.	CRD# 6958	PARSIPPANY, NJ
B	01/25/1982 - 10/09/2009	J. B. HANAUER & CO.	CRD# 6958	PARSIPPANY, NJ

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
06/2013 - Present	OPPENHEIMER & CO. INC.	FINANCIAL CONSULTANT	Y	NEW YORK, NY, 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.

No information reported.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	5
Termination	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	OPPENHEIMER & CO. INC.
Allegations:	CLAIMANT ALLEGES THE PURCHASE OF OHIO STATE AIR QUALITY DEVELOPMENT AUTHORITY WAS BASED ON AN UNSUITABLE RECOMMENDATION AND MISREPRESENTATIONS OR MISLEADING INFORMATION. FROM 8/9/2016 TO 4/8/2019.
Product Type:	Debt-Municipal
Alleged Damages:	\$157,466.25
Alleged Damages Amount Explanation (if amount not exact):	Claimant states the amount in dispute is \$157,466.25 plus interest payments which were not received, but are not quantified.
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 #:	19-00958



Filing date of arbitration/CFTC reparation or civil litigation: 04/08/2019

Customer Complaint Information

Date Complaint Received: 04/11/2019

Complaint Pending? No

Status: Withdrawn

Status Date: 06/17/2019

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 5

Reporting Source: Individual

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

Allegations: THE CLIENT ALLEGES THE FINANCIAL ADVISOR MADE AN UNAUTHORIZED PURCHASE OF TRANSOCEAN CORPORATE BOND. FROM 2/1/2015 TO 4/6/2016. CLIENT SUBMITTED WRITTEN COMPLAINT. ON 9/28/17, IN WHICH SHE AGAIN MADE AN UNAUTHORIZED TRANSACTION ALLEGATION AGAINST THE FA. SHE ALSO ALLEGED UNSUITABLE INVESTMENTS WERE MADE, AND THAT THE FA HAD MISREPRESENTED THE ACCOUNT HOLDINGS.

Product Type: Other: CORPORATE BOND

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): THE CLIENT DID NOT ALLEGE A SPECIFIC AMOUNT OF DAMAGES. 9/28/17, NO DAMAGES SPECIFIED, BUT BELIEVED TO BE OVER \$5,000

Is this an oral complaint? Yes

Is this a written complaint? No

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

Customer Complaint Information

Date Complaint Received: 04/05/2016

Complaint Pending? No

Status: Settled

Status Date: 04/05/2016

Settlement Amount: \$35,285.00

Individual Contribution Amount: \$35,285.00

Broker Statement ON APRIL 6, 2016, IT WAS DETERMINED BY THE FIRM THAT THE REGISTERED REPRESENTATIVE WOULD BE RESPONSIBLE FOR THE



SETTLEMENT WITH THE CLIENT. THE AMOUNT , \$35,285., REPRESENTS RESCISSION OF THE PURCHASE OF A TRANSOCEAN BOND. A REVIEW OF THE MATTER BY THE FIRM DETERMINED THAT WHILE THE RR SPOKE WITH THE CLIENT ABOUT THE DETAILS OF THE INVESTMENT, HE DID NOT PLACE THE ORDER UNTIL THE FOLLOWING DAY.

Disclosure 3 of 5

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: RBC CAPITAL MARKETS LLC DBA RBC WEALTH MANGEMENT FKA JB HANAUER & CO.
Allegations: IN ARBITRATION, CLIENT ALLEGES BROKER 'STOLE, SQUANDERED OR MISAPPROPRIATED' MONEY, IN SOME UNKNOWN MANNER, IN PERIOD 2008 TO 2013.
Product Type: No Product
Alleged Damages: \$1,000,000.00
Alleged Damages Amount Explanation (if amount not exact): ACTUAL ESTIMATE IS \$500K TO \$1M. ACCORDING TO THE CLAIMANT, THE AMOUNT HERE IS ENTERED 'SOLELY FOR THE PURPOSE OF COMPLYING WITH FINRA CODE...12900.'
Is this an oral complaint? No
Is this a written complaint? No
Is this an arbitration/CFTC reparation or civil litigation? Yes
Arbitration/Reparation forum or court name and location: FINRA
Docket/Case #: 13-02319
Filing date of arbitration/CFTC reparation or civil litigation: 08/28/2013

Customer Complaint Information

Date Complaint Received: 08/30/2013
Complaint Pending? No
Status: Arbitration Award/Monetary Judgment (for respondents/defendants)
Status Date: 02/17/2015
Settlement Amount: \$0.00
Individual Contribution Amount: \$0.00

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: RBC CAPITAL MARKETS LLC DBA RBC WEALTH MANAGEMENT FKA JB HANAUER & CO.
Allegations: IN ARBITRATION, CLIENT ALLEGES BROKER 'STOLE, SQUANDERED OR MISAPPROPRIATED' MENEY, IN SOME UNKNOWN MANNER, IN PERIOD 2008



TO 2013.

Product Type: No Product

Alleged Damages: \$1,000,000.00

Alleged Damages Amount Explanation (if amount not exact): ACTUAL ESTIMATE IS \$500K TO \$1M. ACCORDING TO THE CLAIMANT, THE AMOUNT HERE IS ENTERED 'SOLELY' FOR THE PURPOSE OF COMPLYING WITH FINRA CODE 12900.'

Is this an oral complaint? No

Is this a written complaint? No

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 13-02319

Filing date of arbitration/CFTC reparation or civil litigation: 08/28/2013

Customer Complaint Information

Date Complaint Received: 08/30/2013

Complaint Pending? No

Status: Denied

Status Date: 02/17/2015

Settlement Amount:

Individual Contribution Amount:

Disclosure 4 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: J.B. HANAUER & CO. KNA RBC CAPITAL MARKETS CORPORATION

Allegations: CLIENTS ALLEGE UNAUTHORIZED TRADES, BREACH OF WRITTEN AND ORAL CONTRACTS, FRAUD, OMISSION OF MATERIAL FACT AND NEGLIGENCE BETWEEN JANUARY AND APRIL 2008.

Product Type: Debt-Corporate
Debt-Government

Alleged Damages: \$133,545.00

Arbitration Information

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

Docket/Case #: 09-04905

Date Notice/Process Served: 08/31/2009



Arbitration Pending? No
Disposition: Settled
Disposition Date: 07/21/2010
Monetary Compensation Amount: \$35,000.00
Individual Contribution Amount: \$0.00

Disclosure 5 of 5

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: J.B. HANAUER & CO.

Allegations: CUSTOMER ALLEGED UNAUTHORIZED PURCHASE OF 20M IRIDIUM BONDS AND SALE OF GRUPO MINERO BONDS IN MARCH 1999, RESULTING IN AN ALLEGED LOSS OF \$12,600.

Product Type: Debt - Corporate

Alleged Damages: \$12,600.00

Customer Complaint Information

Date Complaint Received: 07/16/1999
Complaint Pending? No
Status: Settled
Status Date: 08/16/1999
Settlement Amount: \$12,400.00
Individual Contribution Amount: \$5,456.00

Broker Statement WHILE NO EVIDENCE OF WRONGDOING WAS FOUND, THE FIRM AGREED TO SETTLE THE COMPLAINT STRICTLY AS A MEANS TO SATISFY A VALUED CLIENT.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Firm Name: RBC Capital Markets
Termination Type: Discharged
Termination Date: 05/10/2013
Allegations: Violation of company policy in regards to client gifts and gratuities
Product Type: No Product

Reporting Source: Individual
Firm Name: RBC CAPITAL MARKETS
Termination Type: Discharged
Termination Date: 05/10/2013
Allegations: VIOLATION OF COMPANY POLICY IN REGARDS TO CLIENT GIFTS AND GRATUITIES.
Product Type: No Product



End of Report

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