IAPD Report

GREGORY JAMES MILLER

CRD# 1043259

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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

GREGORY JAMES MILLER (CRD# 1043259)

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 **04/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OPPENHEIMER & CO. INC.	CRD# 249	01/14/2005
IA	OPPENHEIMER & CO. INC.	CRD# 249	12/13/2007

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **21** 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	MCDONALD INVESTMENTS INC.	566	CLEVELAND, OH	10/04/2000 - 02/01/2005
B	RAYMOND JAMES & ASSOCIATES, INC.	705	ST. PETERSBURG, FL	06/18/1998 - 10/09/2000
B	RONEY & CO.	45091	DETROIT, MI	05/11/1998 - 09/25/1999

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
Regulatory Event	1
Customer Dispute	2
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 **21** 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	01/14/2005
B	Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	01/14/2005
B	Cboe Exchange, Inc.	General Securities Principal	Approved	07/26/2021
B	FINRA	General Securities Principal	Approved	01/14/2005
B	FINRA	General Securities Representative	Approved	01/14/2005
B	FINRA	General Securities Sales Supervisor	Approved	01/14/2005
B	FINRA	Invest. Co and Variable Contracts	Approved	01/14/2005
B	FINRA	Operations Professional	Approved	08/21/2017
B	NYSE American LLC	General Securities Principal	Approved	01/14/2005
B	NYSE American LLC	General Securities Representative	Approved	01/14/2005
B	NYSE American LLC	Securities Manager	Approved	05/31/2017
B	NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	NYSE Arca, Inc.	General Securities Principal	Approved	09/07/2011

Qualifications

	Regulator	Registration	Status	Date
B	NYSE Arca, Inc.	General Securities Representative	Approved	09/07/2011
B	NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	09/07/2011
B	NYSE Texas, Inc.	General Securities Principal	Approved	09/07/2011
B	NYSE Texas, Inc.	General Securities Representative	Approved	09/07/2011
B	NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	03/04/2019
B	Nasdaq ISE, LLC	General Securities Representative	Approved	11/20/2007
B	Nasdaq ISE, LLC	General Securities Principal	Approved	09/07/2011
B	Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	Nasdaq PHLX LLC	General Securities Principal	Approved	09/07/2011
B	Nasdaq PHLX LLC	General Securities Representative	Approved	09/07/2011
B	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	09/07/2011
B	Nasdaq Stock Market	General Securities Principal	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	01/14/2005
B	New York Stock Exchange	General Securities Principal	Approved	09/07/2011
B	New York Stock Exchange	Securities Manager	Approved	05/31/2017
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B	Arizona	Agent	Approved	05/25/2021

Qualifications

	Regulator	Registration	Status	Date
B	Arkansas	Agent	Approved	02/05/2026
B	California	Agent	Approved	01/14/2005
B	Delaware	Agent	Approved	11/14/2016
B	Florida	Agent	Approved	01/14/2005
B	Georgia	Agent	Approved	01/03/2019
IA	Illinois	Investment Adviser Representative	Approved	12/13/2007
B	Illinois	Agent	Approved	05/12/2015
B	Iowa	Agent	Approved	06/25/2021
B	Kentucky	Agent	Approved	06/21/2005
B	Maryland	Agent	Approved	02/26/2021
B	Massachusetts	Agent	Approved	03/05/2008
B	Michigan	Agent	Approved	01/14/2005
IA	Michigan	Investment Adviser Representative	Approved	11/25/2015
B	Minnesota	Agent	Approved	07/16/2025
B	Nevada	Agent	Approved	01/12/2017
B	New Jersey	Agent	Approved	06/18/2019
B	New York	Agent	Approved	01/14/2005
B	North Carolina	Agent	Approved	04/14/2026
B	Rhode Island	Agent	Approved	01/14/2005

Qualifications

	Regulator	Registration	Status	Date
B	South Carolina	Agent	Approved	01/11/2017
B	Tennessee	Agent	Approved	10/12/2022
B	Texas	Agent	Approved	01/14/2005

Branch Office Locations

OPPENHEIMER & CO. INC.
12900 HALL ROAD
SUITE 160
STERLING HEIGHTS, MI 48313

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 4 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	07/13/1992
B	General Securities Principal Examination (S24)	Series 24	03/02/1992

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	07/01/2003
B	General Securities Representative Examination (S7)	Series 7	01/15/1983
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/28/1982

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/11/2008
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/01/1982

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	10/04/2000 - 02/01/2005	MCDONALD INVESTMENTS INC.	CRD# 566	CLEVELAND, OH
B	06/18/1998 - 10/09/2000	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	ST. PETERSBURG, FL
B	05/11/1998 - 09/25/1999	RONEY & CO.	CRD# 45091	DETROIT, MI
B	09/08/1986 - 05/11/1998	RONEY & CO. L.L.C.	CRD# 900	DETROIT, MI
B	10/16/1984 - 09/23/1986	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	
B	01/19/1983 - 10/12/1984	E. F. HUTTON & COMPANY INC	CRD# 235	
B	07/29/1982 - 01/31/1983	SMA EQUITIES, INC.	CRD# 3960	

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
01/2005 - Present	OPPENHEIMER & CO. INC.	FINANCIAL ADVISOR / BRANCH MANAGER	Y	STERLING HEIGHTS, MI, 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
Regulatory Event	1
Customer Dispute	2
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	SC Securities Division
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	07/28/1998
Docket/Case Number:	98246
Employing firm when activity occurred which led to the regulatory action:	RONEY & CO. L.L.C.
Product Type:	
Other Product Type(s):	
Allegations:	Applicant filed a materially incomplete application.
Current Status:	Final
Resolution:	Decision
Resolution Date:	07/28/1998
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	After due notice, applicant failed to file a

	completed application.
Regulator Statement	CONTACT: SC SECURITIES DIVISION 803-734-4731

Reporting Source:	Individual
Regulatory Action Initiated By:	SOUTH CAROLINA
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	
Date Initiated:	07/28/1998
Docket/Case Number:	98246
Employing firm when activity occurred which led to the regulatory action:	RONEY & CO. L.L.C.
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	
Allegations:	STATE REQUESTED INFORMATION INFORMATION FOR APPLICATION
Current Status:	Final
Appealed To and Date Appeal Filed:	DENIAL OF REGISTRATION FOR SOUTH CAROLINA
Resolution:	Decision
Resolution Date:	07/28/1998
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	DENIAL OF REGISTRATION FOR SOUTH CAROLINA
Broker Statement	I HAVE NO CLIENTS IN SOUTH CAROLINA AND ASKED MY FIRM, RONEY & CO. TO WITHDRAW APPLICATION. PARTIAL U-5 WAS SUBMITTED ON 7/13/98 TO CANCEL THIS REGISTRATION.

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	E.F. HUTTON
Allegations:	
Product Type:	
Alleged Damages:	$17,000.00

Customer Complaint Information

Date Complaint Received:	08/01/1984
Complaint Pending?	No
Status:	Settled
Status Date:	
Settlement Amount:	$17,000.00
Individual Contribution Amount:	
Firm Statement	CUSTOMER COMPLAINT WAS FILED BY CUSTOMER COMPLAINING OF ACCOUNT EXECUTIVE GREGORY MILLER'S FAILURE TO ADEQUATELY EXPLAIN THE MARGIN RAMIFICATIONS OF INDEX OPTION TRADING. THE COMBINED LOSSES OF THE TWO CUSTOMERS TOTALLED APPROXIMATELY $94,000 IN UNSECURED DEBITS. (SEE 1;Y5 FOR DETAILS OF THE OTHER COMPLAINT). CUSTOMER [CUSTOMER] WAS FORGIVEN FOR A $17,000 DEBIT. FOR FURTHER INFORMATION PLEASE CONTACT [OTHER FIRM EMPLOYEE] IN E.F. HUTTON'S LEGAL DEPT.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	E.F. HUTTON
Allegations:	THERE WERE NO FORMAL COMPLAINTS AGAINST ME. A CUSTOMER OF MINE, HAD A UNSECURED DEBIT OF $30,000 FROM TRADING OEX OPTION COMBINATIONS IN JULY AND AUGUST OF 1984. CUSTOMER REDUCED THIS DEBIT TO $17,000. DAILY ACCOUNT RUNS SHOWED EQUITY IN HIS ACCOUNT OVER THE PERIOD OF TIME AND HE DID NOT RECEIVE A MARGIN CALL UNTIL AUGUST 20, 1984.
Product Type:	Options
Alleged Damages:	$17,000.00

Customer Complaint Information

Date Complaint Received: 08/01/1984

Complaint Pending? No

Status: Settled

Status Date: 11/05/1985

Settlement Amount: $17,000.00

Individual Contribution Amount: $0.00

Broker Statement HUTTON FORGAVE CUSTOMER THE TOTAL AMOUNT OF THE UNSECURED DEBIT OUTSTANDING. THERE WAS NEVER ANY COMPLAINT MADE FORMALLY AGAINST MYSELF OR CUSTOMER. THE MATTER IS COMPLETELY CLOSED.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: E.F. HUTTON

Allegations:

Product Type:

Alleged Damages: $60,000.00

Customer Complaint Information

Date Complaint Received: 08/01/1984

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: $60,000.00

Individual Contribution Amount:

Firm Statement CUSTOMER COMPLAINT FILED BY
CUSTOMER AGAINST ACCOUNT EXECUTIVE GREGORY MILLER
ALLEGING FAILURE TO ADEQUATELY EXPLAIN THE MARGIN
RAMIFICATIONS
OF INDEX OPTION TRADING. THE COMPLAINT BY CUSTOMER [CUSTOMER]
IS STILL UNDER INVESTIGATION, HOWEVER HUTTON DOES NOT
INTEND TO PURSUE THIS MATTER ANY FURTHER. FOR FURTHER
INFORMATION PLEASE CONTACT [OTHER FIRM EMPLOYEE] IN E.F.
HUTTON'S
LEGAL DEPT.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:	E.F. HUTTON
Allegations:	THERE WERE NO FORMAL COMPLAINTS AGAINST ME. THIRD PARY, A CUSTOMER OF MINE, HAD A DEBIT OF $60,000 FROM TRADING OEX OPTION COMBINATIONS IN JULY AND AUGUST OF 1984. DAILY ACCOUNT RUNS SHOWED EQUITY IN HIS ACCOUNT OVER THE PERIOD OF TIME. HE DID NOT RECEIVE A MARGIN CALL UNTIL AUGUST 20, 1984.
Product Type:	Options
Alleged Damages:	$60,000.00

Customer Complaint Information

Date Complaint Received:	08/01/1984
Complaint Pending?	No
Status:	Settled
Status Date:	11/01/1986
Settlement Amount:	$60,000.00
Individual Contribution Amount:	$0.00
Broker Statement	CUSTOMER FORGAVE THIRD PARTY THE TOTAL AMOUNT OF THE UNSECURED DEBIT OUTSTANDING. THERE WAS NEVER ANY FORMAL COMPLAINT MADE AGAINST MYSELF OR THIRD PARTY. THIS MATTER IS COMPLETELY CLOSED.

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:	Individual
Firm Name:	E.F. HUTTON
Termination Type:	Permitted to Resign
Termination Date:	10/01/1984
Allegations:	N/A. IN OCTOBER 1984, I LEFT E.F. HUTTON IN DISAGREEMENT OVER INTERNAL POLICY. HUTTON STATES MY TERMINATION WAS DUE TO FAILURE TO EXPLAIN MARGIN REQUIREMENTS. AT NO TIME WERE THERE COMPLAINTS AGAINST MYSELF. NOR WAS I EVER CONTACTED IN REGARDS TO THE HUTTON MATTER NOR THE SETTLEMENT WITH THE CLIENTS AND HUTTON.
Product Type:	Other
Other Product Types:	
Broker Statement	N/A. IN OCTOBER 1984, I LEFT E.F. HUTTON IN DISAGREEMENT OVER INTERNAL POLICY. HUTTON STATES MY TERMINATION WAS DUE TO FAILURE TO EXPLAIN MARGIN REQUIREMENTS. AT NO TIME WERE THERE COMPLAINTS AGAINST MYSELF. NOR WAS I EVER CONTACTED IN REGARDS TO THE HUTTON MATTER NOR THE SETTLEMENT WITH THE CLIENTS AND HUTTON.

End of Report

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