



IAPD Report

CHARLES MARC SHALMI

CRD# 1293269

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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

CHARLES MARC SHALMI (CRD# 1293269)

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 **02/11/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	10/27/2025
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	10/27/2025

QUALIFICATIONS

This representative is currently registered in **1** 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
IA	OPPENHEIMER & CO. INC.	249	BOCA RATON, FL	04/11/2018 - 10/31/2025
B	OPPENHEIMER & CO. INC.	249	BOCA RATON, FL	07/28/2003 - 10/31/2025
IA	ADVEST, INC.	10	WESTPORT, CT	06/20/2001 - 07/16/2003

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	2
Customer Dispute	7



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 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **AMERIPRISE FINANCIAL SERVICES, LLC**
Main Address: 901 3RD AVENUE SOUTH
MINNEAPOLIS, MN 55402
Firm ID#: 6363

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	10/27/2025
B	Arizona	Agent	Approved	10/27/2025
B	California	Agent	Approved	10/28/2025
B	Connecticut	Agent	Approved	10/29/2025
B	Delaware	Agent	Approved	10/28/2025
B	Florida	Agent	Approved	10/28/2025
IA	Florida	Investment Adviser Representative	Approved	10/28/2025
B	Georgia	Agent	Approved	10/28/2025
B	Louisiana	Agent	Approved	10/27/2025
B	Maryland	Agent	Approved	11/06/2025
B	Michigan	Agent	Approved	10/27/2025
B	Nevada	Agent	Approved	10/28/2025
B	New Jersey	Agent	Approved	10/29/2025



Qualifications

Regulator	Registration	Status	Date
B New York	Agent	Approved	10/27/2025
B North Carolina	Agent	Approved	10/27/2025
B Ohio	Agent	Approved	10/27/2025
IA Ohio	Investment Adviser Representative	Approved	10/27/2025
B Pennsylvania	Agent	Approved	10/27/2025
B South Carolina	Agent	Approved	10/31/2025
B Texas	Agent	Approved	10/27/2025
IA Texas	Investment Adviser Representative	Restricted Approval	10/27/2025
B Vermont	Agent	Approved	10/27/2025
B Virginia	Agent	Approved	11/01/2025
B Washington	Agent	Approved	10/27/2025
B Wisconsin	Agent	Approved	11/06/2025

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
5200 Town Center Cir Ste 600
BOCA RATON, FL 33486-1045



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 1 principal/supervisory exam, 3 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	04/19/1991

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	07/20/1985
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/15/1984

State Securities Law Exams

	Exam	Category	Date
	Uniform Combined State Law Examination (S66)	Series 66	01/31/2018
	Uniform Investment Adviser Law Examination (S65)	Series 65	05/04/2001
	Uniform Securities Agent State Law Examination (S63)	Series 63	08/21/1984

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
IA	04/11/2018 - 10/31/2025	OPPENHEIMER & CO. INC.	CRD# 249	BOCA RATON, FL
B	07/28/2003 - 10/31/2025	OPPENHEIMER & CO. INC.	CRD# 249	BOCA RATON, FL
IA	06/20/2001 - 07/16/2003	ADVEST, INC.	CRD# 10	WESTPORT, CT
B	05/05/2000 - 07/16/2003	ADVEST, INC.	CRD# 10	HARTFORD, CT
B	11/16/1984 - 05/25/2000	DAVID LERNER ASSOCIATES, INC.	CRD# 5397	SYOSSET, NY

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
10/2025 - Present	AMERIPRISE FINANCIAL SERVICES, LLC	Registered Representative	Y	Boca Raton, FL, United States
07/2003 - 10/2025	OPPENHEIMER & CO., INC.	FINANCIAL ADVISOR	Y	BOCA RATON, FL, 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.

Board of Directors; Rotary Club; SGT at arms; PO BOX, , Boca Raton , FL, 33497; Not Investment-Related; 01/01/2005; 1 to 9 hours per month; 1 to 9 during trading hours.



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	2
Customer Dispute	7

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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	ILLINOIS
Sanction(s) Sought:	Revocation
Other Sanction(s) Sought:	
Date Initiated:	03/23/2006
Docket/Case Number:	0400646
Employing firm when activity occurred which led to the regulatory action:	OPPENHEIMER & CO., INC.
Product Type:	Other
Other Product Type(s):	
Allegations:	RESPONDENT'S REGISTRATION AS A SALESPERSON IN THE STATE OF ILLINOIS IS SUBJECT TO REVOCATION PURSUANT TO SECTION 8.E(1)(J) OF THE ILLINOIS SECURITIES LAW.
Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No



Resolution Date: 03/23/2006

Regulator Statement THE SECRETARY OF STATE OF ILLINOIS HEREBY ACCEPTS THE RESPONDENTS OCTOBER 26, 2005 WITHDRAWEL OF HIS SALESPERSON REGISTRATION; AND RESPONDENT SHALL NOT RE-APPLY FOR REGISTRATION AS A SALESPERSON FOR A PERIOD OF (2) YEARS. RESPONDENT HAS PAID COST. ANY QUESTIONS CALL CHERYL WEISS @ 312-793-3324.

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Reporting Source: Individual

Regulatory Action Initiated By: ILLINOIS

Sanction(s) Sought: Revocation

Other Sanction(s) Sought:

Date Initiated: 09/23/2005

Docket/Case Number: 0400646

Employing firm when activity occurred which led to the regulatory action: OPPENHEIMER & CO. INC.

Product Type: No Product

Other Product Type(s):

Allegations: RESPONDENT'S REGISTRATION AS A SALESPERSON IN THE STATE OF ILLINOIS IS SUBJECT TO REVOCATION PURSUANT TO SECTION 8.E(1)(J) OF THE ILLINOIS SECURITIES LAW.

Current Status: Final

Resolution: Consent

Resolution Date: 03/23/2006

Broker Statement THE SECRETARY OF STATE OF ILLINOIS HEREBY ACCEPTS THE RESPONDENTS OCTOBER 26, 2005 WITHDRAWAL OF HIS SALESPERSON REGISTRATION; AND RESPONDENT SHALL NOT RE-APPLY FOR REGISTRATION AS A SALES PERSON FOR A PERIOD OF (2) YEARS. RESPONDENT HAS PAID COST. ANY QUESTIONS CALL [THIRD PERSON] @ 312-793-3324.

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: NASD

Sanction(s) Sought:

Date Initiated: 08/03/2004

Docket/Case Number: C11040030

Employing firm when activity occurred which led to the regulatory action:



Product Type:	Equity-OTC
Allegations:	NASD CONDUCT RULES 2110, 2315 AND 3110 - RESPONDENT CHARLES M. SHALMI SOLICITED CUSTOMERS TO MAKE TRANSACTIONS IN FIVE DIFFERENT OTC EQUITY SECURITIES. RESPONDENT SHALMI, HOWEVER, IMPROPERLY RECORDED THOSE TRANSACTIONS AS "UNSOLICITED" ON THE ORDER TICKETS, CAUSING THE FIRM'S BOOKS AND RECORDS TO BE INACCURATE. THE OTC EQUITY TRANSACTIONS WERE NEITHER REVIEWED NOR APPROVED BY THE FIRM PRIOR TO THE RECOMMENDATIONS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	08/03/2004
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Regulator Statement	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE RESPONDENT CHARLES M. SHALMI CONSENTED TO THE FINDING OF THE ALLEGATIONS AND TO THE FOLLOWING SANCTIONS: FINED \$10,000.00 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR SIXTY (60) CALENDAR DAYS. THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS ON SEPTEMBER 7, 2004, AND WILL CONCLUDE ON NOVEMBER 5, 2004. FINES PAID.
.....	
Reporting Source:	Individual
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	AWC
Date Initiated:	06/27/2004
Docket/Case Number:	C11040030
Employing firm when activity occurred which led to the regulatory action:	OPPENHEIMER & CO. INC.
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	
Allegations:	DURING THE PERIOD FROM MARCH 2003 TO ABOUT JUNE 2003, SHALMI SOLICITED THIRTY-EIGHT CUSTOMERS TO MAKE APPROX. 136 TRANSACTIONS IN FIVE DIFFERENT OTC EQUITY SECURITIES. SHALMI HOWEVER, IMPROPERLY RECORDED THOSE TRANSACTIONS AS "UNSOLICITED" ON THE ORDER TICKETS, CAUSING THE FIRM'S BOOKS AND RECORDS TO BE INACCURATE. THE AFOREMENTIONED CONDUCT BY SHALMI CONSTITUTES SEPARATE AND DISTINCT VIOLATIONS OF NASD



CONDUCT RULES 3110 AND 2110.
THE 136 OTC EQUITY SECURITIES TRANSACTIONS WERE NEITHER REVIEWED NOR APPROVED BY THE FIRM PRIOR TO THE RECOMMENDATIONS. THE AFOREMENTIONED CONDUCT BY SHALMI CONSTITUTES SEPARATE AND DISTINCT VIOLATIONS OF NASD CONDUCT RULES 2315 AND 2110.

Current Status: Final
Resolution: Acceptance, Waiver & Consent(AWC)
Resolution Date: 08/03/2004
Sanctions Ordered: Monetary/Fine \$10,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE RESPONDENT CHARLES M. SHALMI CONSENTED TO THE FINDING OF THE ALLEGATIONS AND TO THE FOLLOWING SANCTIONS: FINED \$10,000.00 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR SIXTY (60) CALENDAR DAYS. THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS ON SEPTEMBER 7, 2004 AND WILL CONCLUDE ON NOVEMBER 5, 2004.



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 7

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	OPPENHEIMER & CO. INC.
Allegations:	CUSTOMER'S ALLEGED THERE WERE EXCESSIVE LOSSES IN THEIR ACCOUNTS DUE TO THEIR INVESTMENT IN UNSUITABLY RISK EQUITY INVESTMENTS. FROM 2003 TO 2018.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO SPECIFIC DAMAGE AMOUNT ALLEGED
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:	06/22/2018
Complaint Pending?	No
Status:	Settled
Status Date:	08/15/2019
Settlement Amount:	\$18,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	I AT ALL TIMES CONDUCTED MYSELF IN AN APPROPRIATE AND PROFESSIONAL MATTER. WHILE THE FIRM ELECTED TO SETTLE THE MATTER, I CONTINUE TO DENY ANY AND ALL OF THE UNWARRANTED AND UNSUBSTANTIATED ALLEGATIONS. I DID NOT CONTRIBUTE TO THE SETTLEMENT.

Disclosure 2 of 7

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	OPPENHEIMER & CO. INC.
Allegations:	DECEASED CLEINT'S SON ALLEGES THAT BROKER WORKED WITH AN



INSURANCE AGENT AT ANOTHER FIRM TO EXCHANGE AN EXISTING ANNUITY FOR THE SOLE PURPOSE OF GENERATING A COMMISSION. EXCHANGE TOOK PLACE AWAY FROM THIS FIRM SOMETIME DURING 20`0.

Product Type: Annuity-Fixed

Alleged Damages: \$360,000.00

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: 05/28/2014

Complaint Pending? No

Status: Denied

Status Date: 06/20/2014

Settlement Amount:

Individual Contribution Amount:

Broker Statement THIS ALLEGATION IS FALSE. I DID NOT WRITE THE ANNUITY BUSINESS.

Disclosure 3 of 7

Reporting Source: Individual

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

Allegations: CLIENT ALLEGES THAT UNSUITABLE INVESTMENTS WERE MADE IN HER ACCOUNT FROM 2005 THROUGH 2007. CLIENT ALSO ALLEGES UNAUTHORIZED TRANSACTIONS TOOK PLACE IN HER ACCOUNTS BETWEEN AUGUST 2003 THROUGH 2008.

Product Type: Equity - OTC

Alleged Damages: \$83,227.00

Customer Complaint Information

Date Complaint Received: 09/18/2008

Complaint Pending? No

Status: Closed/No Action

Status Date: 05/04/2009

Settlement Amount:

Individual Contribution Amount:

Disclosure 4 of 7

Reporting Source: Individual



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

Allegations: UNAUTHORIZED TRADES, UNAUTHORIZED USE OF MARGIN AND UNSUITABLE INVESTMENTS SINCE AT LEAST 2004. NO DAMAGES ALLEGED BUT BELIEVED TO BE GREATER THAN \$5000.

Product Type: Equity - OTC

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 10/18/2006

Complaint Pending? No

Status: Settled

Status Date: 12/24/2007

Settlement Amount: \$78,548.00

Individual Contribution Amount: \$78,548.00

Disclosure 5 of 7

Reporting Source: Individual

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

Allegations: CUSTOMER ALLEGES THAT GM AND FORD BONDS SOLD TO HER IN 2004 WERE INAPPROPRIATE FOR A WOMAN OF HER AGE.

Product Type: Other

Other Product Type(s): CORPORATE BONDS

Alleged Damages: \$15,026.00

Customer Complaint Information

Date Complaint Received: 04/18/2006

Complaint Pending? No

Status: Denied

Status Date: 05/03/2006

Settlement Amount:

Individual Contribution Amount:

Disclosure 6 of 7

Reporting Source: Individual

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

Allegations: PURCHASE OF UNSUITABLE SECURITIES BEGINNING IN LATE 2004. NO



SPECIFIED ALLEGED DAMAGED REQUESTED BUT BELIEVED TO BE
GREATER THEN \$5000.00

Product Type: Equity - OTC

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 11/04/2005

Complaint Pending? Yes

Settlement Amount:

**Individual Contribution
Amount:**

Disclosure 7 of 7

Reporting Source: Individual

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

Allegations: UNAUTHORIZED TRADING, SUITABILITY, CHURNING MARCH 05 THROUGH
PRESENT.

Product Type: Equity - OTC

Alleged Damages: \$10,700.00

Customer Complaint Information

Date Complaint Received: 09/30/2005

Complaint Pending? No

Status: Denied

Status Date: 11/07/2005

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

THE CLIENTS INITIAL DEPOSIT WAS \$100,000 IN MARCH 2005. THE CLIENT
ULTIMATELY WITHDREW \$70,000 WITHIN A 6 MONTH PERIOD. IN
SEPTEMBER OF 2005, TWO SECURITIES WERE SOLD, AS PER THE
CLIENT'S REQUEST, TOTALING \$40,000 THE CLIENT NEEDED FOR A
DIVORCE. THE LOSS FROM THE TWO SALES WAS OVER \$4,500. TIME AND
PRICE DISCRETION HAD BEEN USED ON ALL TRADES WITH THE CLIENT'S
OBJECTIVE BEING AGGRESSIVE CAPITAL APPRECIATION. THERE IS NO
BASIS FOR THIS COMPLAINT.



End of Report

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