IAPD Report

KEVIN CRAIG SALK

CRD# 1595150

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

KEVIN CRAIG SALK (CRD# 1595150)

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 **07/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OPPENHEIMER & CO. INC.	CRD# 249	03/26/2010
IA	OPPENHEIMER & CO. INC.	CRD# 249	05/11/2010

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
IA	CLIFFWOOD PARTNERS LLC	109968	LOS ANGELES, CA	09/10/2007 - 03/03/2009
IA	CITIGROUP GLOBAL MARKETS INC.	7059	LOS ANGELES, CA	09/03/2002 - 06/09/2007
B	CITIGROUP GLOBAL MARKETS INC.	7059	LOS ANGELES, CA	08/29/2002 - 06/09/2007

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	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 **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	03/26/2010
B	FINRA	General Securities Representative	Approved	03/26/2010
B	NYSE American LLC	General Securities Representative	Approved	03/26/2010
B	NYSE Arca, Inc.	General Securities Representative	Approved	03/26/2010
B	NYSE Texas, Inc.	General Securities Representative	Approved	03/26/2010
B	Nasdaq ISE, LLC	General Securities Representative	Approved	03/26/2010
B	Nasdaq PHLX LLC	General Securities Representative	Approved	03/26/2010
B	Nasdaq Stock Market	General Securities Representative	Approved	03/26/2010
B	New York Stock Exchange	General Securities Representative	Approved	03/26/2010
IA	California	Investment Adviser Representative	Approved	05/11/2010
B	California	Agent	Approved	05/25/2010
B	Delaware	Agent	Approved	04/19/2025
B	Hawaii	Agent	Approved	11/17/2023

Qualifications

	Regulator	Registration	Status	Date
B	Illinois	Agent	Approved	01/12/2012
B	Michigan	Agent	Approved	06/01/2023
B	Nevada	Agent	Approved	06/25/2010
B	New York	Agent	Approved	06/17/2010
B	South Dakota	Agent	Approved	09/10/2024
B	Texas	Agent	Approved	05/23/2017
IA	Texas	Investment Adviser Representative	Restricted Approval	05/17/2017
B	Wisconsin	Agent	Approved	10/06/2015

Branch Office Locations

OPPENHEIMER & CO. INC.
10880 WILSHIRE BOULEVARD
23RD FLOOR
LOS ANGELES, CA 90024

OPPENHEIMER & CO. INC.
MANHATTAN BEACH, CA

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, 3 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	10/05/2011
B	General Securities Representative Examination (S7)	Series 7	11/19/1988

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	05/20/2010
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/03/2006
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/08/1988

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.

User Guidance

www.adviserinfo.sec.gov

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	09/10/2007 - 03/03/2009	CLIFFWOOD PARTNERS LLC	CRD# 109968	LOS ANGELES, CA
IA	09/03/2002 - 06/09/2007	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	LOS ANGELES, CA
B	08/29/2002 - 06/09/2007	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	LOS ANGELES, CA
IA	07/08/1997 - 09/06/2002	CIBC WORLD MARKETS CORP.	CRD# 630	LOS ANGELES, CA
B	05/30/1995 - 09/06/2002	CIBC WORLD MARKETS CORP.	CRD# 630	NEW YORK, NY
B	06/21/1991 - 05/19/1995	BEAR, STEARNS & CO. INC.	CRD# 79	NEW YORK, NY
B	11/23/1988 - 06/27/1991	PAINEWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, 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
06/2009 - Present	UNEMPLOYED	N/A	N	LOS ANGELES, CA, 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.

1. THE NAME IS KEVIN SALK PHOTOGRAPHY. IT IS NON INVESTMENT RELATED. I AM SELLING PICTURES OF MUSIC BANDS FROM THE EARLY 1980'S. I TOOK ALL THE PICTURES MYSELF. I AM SOLE OWNER OF THE BUSINESS. THE BUSINESS STARTED UP IN MARCH 2012 AND I DEVOTE A FEW OURS ON THE WEEKENDS AND EVENING TO MY WEBSITE. I EDIT, SCAN AND MARKET MY PICTURES. THE ADDRESS IS 2022A PENNY AVE. REDONDO BEACH, CA 90278. MY WEBSITE IS KEVINSALKPUNKPICS.PHOTOSHELTER.COM.

2. ROCKICONIX IS A PHOTO PRODUCTION COMPANY. THEY ARE PROMOTING AND SELLING MY PHOTOGRAPHS THAT TOOK IN 1982/1983. MY PIECES WILL BE SHOWN IN GALLERIES. THERE IS NO INVESTMENT RELATED ACTIVITIES AND MY TIME INVOLVEMENT IS PRIMARILY IN LATE AFTERNOON OR EARLY EVENING. I DO NOT HAVE A TITLE. I AM A REPRESENTATIONAL PHOTOGRAPHER. MY CLIENTS WILL BE MEETING WITH GALLERY OWNERS AND POTENTIAL BUYERS OF MY WORK.

3. THE NAME OF MY OBA IS CALLED "KEVIN SALK PUNK ROCK PHOTOGRAPHY:. IT IS A NON RELATED BUSINESS

Registration & Employment History

OTHER BUSINESS ACTIVITIES

ACTIVITY WHERE I AM SELLING PRINTS THROUGH FATHOM GALLERY. THE PHOTOGRAPHS ARE OF BLACK FLAG, THE MISFITS, THE CIRCLE JERKS, MINOR THREAT, THE DEAD KENNEDYS AND VARIOUS OTHER PUNK ROCK BAND. I TOOK AND DEVELOPED THESE PHOTOGRAPHS WHEN I WAS A TEENAGER. I AM PARTNERS WITH FATHOM GALLERY AND HAVE A 50/50 REVENUE SHARING AGREEMENT FOR ALL PROCEEDS OF MY PHOTOGRAPHS, BOOKS, AND MERCHANDISE. THE PARTNERSHIP WAS ESTABLISHED IN JULY 2019. MY BOOK "PUNK: PHOTOS FROM FAN'S PERSPECTIVE" WILL BE RELEASED ON SEPTEMBER 18TH, 2021. THE BOOK WILL PUBLISHED BY FATHOM.THE PRICE WILL BE $39.95. I SPEND NIGHTS AND WEKEEND ON MY PHOTOGRAPHYS AND OTHER RELATED ACTIVITIES. THE ADDRESS OF THE BUSINESS IS MY RESIDENCE. THE WEBSITE FOR MY WORK IS HTTPS://LINKTR.EE/KEVINSALKPUNKROCKPHOTOGRAPHY

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	2
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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	OPPENHEIMER & CO. INC.
Allegations:	CLIENT ALLEGES THAT CERTAIN INFORMATION WAS NOT GIVEN TO HIM AT THE TIME OF SALE. SALE TOOK PLACE DURING DECEMBER 2020.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO DAMAGES SPECIFIED, BUT BELIEVED TO BE OVER $5,000
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:	05/30/2025
Complaint Pending?	No
Status:	Denied
Status Date:	06/06/2025

Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CITIGROUP GLOBAL MARKETS INC.
Allegations:	CLIENTS ALLEGE MISREPRESENTATION WITH RESPECT TO MAT FIVE. ALLEGED TIME FRAME 2006-2008. THE FIRM DENIES THE ALLEGATIONS AS THE RISKS WERE DISCLOSED BOTH VERBALLY AND IN WRITING AND THE LOSSES WERE THE RESULT OF HISTORIC MARKET EVENTS.
Product Type:	Other: MUNICIPAL ARBITRAGE FUND
Alleged Damages:	$200,000.00
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 #:	12-01012
Filing date of arbitration/CFTC reparation or civil litigation:	03/16/2012

Customer Complaint Information

Date Complaint Received:	03/23/2012
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	03/05/2013
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00
Firm Statement	THIS CASE WAS VOLUNTARILY DISMISSES WITH PREJUDICE AS THE CLAIMANT PREVIOUSLY ACCEPTED A TENDER OFFER ON THE INVESTMENT AT ISSUE.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CITIGROUP GLOBAL MARKETS INC.
Allegations:	CLIENTS ALLEGE MISREPRESENTATION WITH RESPECT TO MAT FIVE. ALLEGED TIME FRAME 2006-2008. THE FIRM DENIES THE ALLEGATIONS AS THE RISKS WERE DISCLOSED BOTH VERBALLY AND IN WRITING AND THE

	LOSSES WERE THE RESULT OF HISTORIC MARKET EVENTS.
Product Type:	Other: MUNICIPAL ARBITRAGE FUND
Alleged Damages:	$200,000.00
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 #:	12-01012
Filing date of arbitration/CFTC reparation or civil litigation:	03/16/2012

Customer Complaint Information

Date Complaint Received:	03/23/2012
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	03/05/2013
Settlement Amount:	
Individual Contribution Amount:	

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:	CITIGROUP SMITH BARNEY
Termination Type:	Discharged
Termination Date:	05/19/2007
Allegations:	SIGNED FATHER'S NAME ON SEVERAL DOCUMENTS AT HIS REQUEST. WAS NOT FORTHCOMING WHEN ASKED ABOUT SIGNATURES.
Product Type:	Other: DOCUMENTS

End of Report

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