



## IAPD Report

# PAUL J COLLIGAN

CRD# 1611890

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

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

### PAUL J COLLIGAN (CRD# 1611890)

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 **12/12/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	OPPENHEIMER & CO. INC.	CRD# 249	02/18/2014
<b>IA</b>	OPPENHEIMER & CO. INC.	CRD# 249	02/18/2014

### QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **15** 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>B</b>	MORGAN STANLEY	149777	GREENWICH, CT	06/01/2009 - 03/10/2014
<b>IA</b>	MORGAN STANLEY	149777	GREENWICH, CT	06/01/2009 - 03/10/2014
<b>B</b>	MORGAN STANLEY & CO. INCORPORATED	8209	GREENWICH, CT	12/14/2007 - 06/01/2009

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
Regulatory Event	1
Customer Dispute	1
Termination	1
Financial	1



## Report Summary



## 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 **15** 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>B</b> Cboe Exchange, Inc.	General Securities Representative	Approved	02/18/2014
<b>B</b> FINRA	General Securities Representative	Approved	02/18/2014
<b>B</b> NYSE American LLC	General Securities Representative	Approved	02/18/2014
<b>B</b> NYSE Arca, Inc.	General Securities Representative	Approved	02/18/2014
<b>B</b> NYSE Texas, Inc.	General Securities Representative	Approved	02/18/2014
<b>B</b> Nasdaq ISE, LLC	General Securities Representative	Approved	02/18/2014
<b>B</b> Nasdaq PHLX LLC	General Securities Representative	Approved	02/18/2014
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	02/18/2014
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	02/18/2014
<b>B</b> California	Agent	Approved	02/18/2014
<b>B</b> Connecticut	Agent	Approved	02/18/2014
<b>IA</b> Connecticut	Investment Adviser Representative	Approved	02/18/2014
<b>B</b> Delaware	Agent	Approved	03/23/2023



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Florida	Agent	Approved	02/19/2014
<b>B</b> Hawaii	Agent	Approved	02/05/2019
<b>B</b> Massachusetts	Agent	Approved	02/19/2014
<b>B</b> Nevada	Agent	Approved	03/13/2014
<b>B</b> New Jersey	Agent	Approved	02/19/2014
<b>B</b> New York	Agent	Approved	02/25/2014
<b>IA</b> New York	Investment Adviser Representative	Approved	02/04/2025
<b>B</b> North Carolina	Agent	Approved	03/11/2014
<b>B</b> Ohio	Agent	Approved	09/19/2022
<b>B</b> South Carolina	Agent	Approved	02/19/2014
<b>B</b> Texas	Agent	Approved	11/07/2016
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	11/03/2016
<b>B</b> Vermont	Agent	Approved	03/11/2014
<b>B</b> Virginia	Agent	Approved	03/20/2023

#### Branch Office Locations

**OPPENHEIMER & CO. INC.**  
263 TRESSER BLVD  
SUITE 500  
STAMFORD, CT 06901

**OPPENHEIMER & CO. INC.**  
PHOENIX, NY



## 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 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
National Commodity Futures Examination (S3)	Series 3	05/29/1987
General Securities Representative Examination (S7)	Series 7	04/25/1987

#### State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	02/03/2025
Uniform Securities Agent State Law Examination (S63)	Series 63	01/14/1987

### 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	06/01/2009 - 03/10/2014	MORGAN STANLEY	CRD# 149777	GREENWICH, CT
IA	06/01/2009 - 03/10/2014	MORGAN STANLEY	CRD# 149777	GREENWICH, CT
B	12/14/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	GREENWICH, CT
IA	12/14/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	GREENWICH, CT
B	01/13/2001 - 12/19/2007	DEUTSCHE BANK SECURITIES INC.	CRD# 2525	GREENWICH, CT
IA	01/12/2001 - 12/19/2007	DEUTSCHE BANK SECURITIES INC.	CRD# 2525	GREENWICH, CT
B	11/19/1999 - 01/13/2001	DB ALEX. BROWN LLC	CRD# 17790	BALTIMORE, MD
B	01/28/1995 - 12/10/1999	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	04/06/1994 - 01/28/1995	KIDDER, PEABODY & CO. INCORPORATED	CRD# 7613	NEW YORK, NY
B	11/09/1988 - 04/13/1994	OPPENHEIMER & CO., INC.	CRD# 630	NEW YORK, NY
B	04/29/1987 - 11/05/1988	DREXEL BURNHAM LAMBERT INCORPORATED	CRD# 7323	

### 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
02/2014 - Present	OPPENHEIMER & CO INC	FINANCIAL ADVISOR	N	STAMFORD, CT, 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.CONCUSSION LEGACY FOUNDATION.361 NEWBURY STREET, BOSTON, MA 02115.QUARTERLY MEETING OR CONF.



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

CALL 1 HOUR. ANNUAL FUNDRAISER 3 HOURS. NO INVESTMENT RELATED RELATIONSHIP. NOT A CLIENT OF OPPENHEIMER  
2. UNIV. OF NEW HAVEN 300 BOSTON POST RD. WEST HAVEN, CT 06516-MEMBER OF ADVISORY BOARD TO UNH MICRO MBA PROGRAM. I WILL ATTEND 3 BOARD MEETINGS VIRTUALLY PER YEAR. I WILL GIVE FEED BACK ON CURRICULUM AND IT'S EFFECTIVENESS. I MAY MENTOR A STUDNET FROM TIME TO TIME (OPTIONAL). I WILL RECEIVE \$0.00 IN COMPENSATION FOR THE ABOVE SERIES



## 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	1
Termination	1
Financial	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:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 01/19/1990

**Docket/Case Number:** NY-8046-AWC

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

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 01/19/1990

**Sanctions Ordered:** Censure  
Monetary/Fine \$3,000.00

**Other Sanctions Ordered:**

**Sanction Details:****Regulator Statement**

ON JANUARY 19, 1990, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. NY-8046-AWC (DISTRICT NO. 12) SUBMITTED BY RESPONDENT PAUL COLLIGAN WAS ACCEPTED; THEREFORE, HE IS CENSURED AND FINED \$3,000 (ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE - PLACED AN ORDER OF SHARES INTO THE ACCOUNT OF A CUSTOMER WITHOUT HIS AUTHORIZATION).  
\*\*\*\$3,000.00 PAID ON 3/30/90 INVOICE #90-12-138\*\*\*

.....

**Reporting Source:**

Individual

**Regulatory Action Initiated By:**

NATIONAL ASSOCIATION SECURITIES DEALERS, INC.

**Sanction(s) Sought:****Other Sanction(s) Sought:****Date Initiated:**

01/19/1990

**Docket/Case Number:**

NY-8046-AWC

**Employing firm when activity occurred which led to the regulatory action:****Product Type:****Other Product Type(s):****Allegations:**

ON SEPTEMBER 22, 1988, I ALLEGEDLY PLACED AN ORDER FOR 6,000 SHARES OF THE ZWEIG TOTAL RETURN FUND INTO THE ACCOUNT OF MR. RICHARD W. CONNOR WITHOUT HIS AUTHORIZATION, IN VIOLATION OF ARTICLE III, SECTION 1 OF THE ASSOCIATION'S RULES OF FAIR PRACTICE.

**Current Status:**

Final

**Resolution:**

Consent

**Resolution Date:**

01/19/1990

**Sanctions Ordered:**

Censure  
Monetary/Fine \$3,000.00

**Other Sanctions Ordered:****Sanction Details:**

THE NASD FOUND ME TO BE IN VIOLATION OF ARTICLE III, SECTION 1 OF THE ASSOCIATION'S RULES OF FAIR PRACTICE. WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, I ACCEPTED THE FINDING BY THE NASD OF A VIOLATION AND I AGREED TO A CENSURE AND FINE OF \$3,000.00.

**Broker Statement**

UPON CALLING MR. CONNOR TO DISCUSS THE ZWEIG FUND OFFERING, MR. CONNOR INDICATED TO ME THAT THE FUND WAS AN APPROPRIATE INVESTMENT WHICH HE WAS INTERESTED IN ACQUIRING, BUT HAD NO MONEY AT THE TIME. PRIOR TO THE OFFERING AN EQUITY WAS SOLD IN THE ACCOUNT. BASED ON OUR EARLIER CONVERSATION, WHEN I BELIEVED HE AUTHORIZED ME TO PLACE AN ORDER, IT WAS EXECUTED. THE TRADE WAS LATER BROKEN AT NO LOSS TO THE CLIENT. I ACCEPTED THE FINDING OF THE NASD, AND AGREED TO A CENSURE AND A FINE OF



\$3,000.00.



## 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 1

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** DREXEL BURNHAM LAMBERT INC.

**Allegations:** THE CLIENT CLAIMED THAT PURCHASES OF COOPER COMPANY STOCK, DURING THE PERIOD OF MARCH TO SEPTEMBER 1988, CONSTITUTED AN UNDULY HIGH CONCENTRATION IN A SINGLE SECURITY AND THAT THE PURCHASES WERE MADE ALLEGEDLY BASED ON NON-PUBLIC INFORMATION. THE CLAIMANT ALSO ALLEGED THAT I MADE MISREPRESENTATIONS AS TO DREXEL'S OPINION OF THE VALUE OF THE COOPER STOCK. THE CLAIMANT WAS ORIGINALLY SEEKING APPROX. \$150,000.

**Product Type:**

**Alleged Damages:** \$150,000.00

## Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

## Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NEW YORK STOCK EXCHANGE

**Date Notice/Process Served:** 11/01/1988

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 05/01/1990

**Monetary Compensation Amount:** \$27,500.00

**Individual Contribution Amount:** \$27,500.00

**Broker Statement** DUE TO DREXEL'S FILING FOR BANKRUPTCY, I WAS LEFT RESPONSIBLE FOR THE SETTLEMENT OF THIS MATTER. BECAUSE



OF  
THIS AND THE UNCERTAINTIES AND EXPENSE OF ARBITRATION, I WAS  
ADVISED BY COUNSEL TO RESOLVE THIS MATTER WITH A PAYMENT OF  
\$27,500 TO [CUSTOMER]. THIS WAS IN NO WAY AN ADMISSION OF ANY  
WRONGDOING ON MY PART.  
NOT PROVIDED



## 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

<b>Reporting Source:</b>	Individual
<b>Firm Name:</b>	DREXEL BURNHAM LAMBERT INC.
<b>Termination Type:</b>	Discharged
<b>Termination Date:</b>	10/05/1988
<b>Allegations:</b>	N/A NONE
<b>Product Type:</b>	No Product
<b>Other Product Types:</b>	NONE
<b>Broker Statement</b>	BECAUSE OF THE WRITTEN CUSTOMER COMPLAINT BY R.W. CONNOR'S SECRETARY I WAS DISCHARGED FROM THE FIRM.



## Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Action Type:</b>	Bankruptcy
<b>Bankruptcy:</b>	Chapter 7
<b>Action Date:</b>	10/01/2018
<b>Organization Investment-Related?</b>	No
<b>Type of Court:</b>	Federal Court
<b>Name of Court:</b>	U. S. BANKRUPTCY COURT, DISTRICT OF CT
<b>Location of Court:</b>	BRIDGEPORT, CT
<b>Docket/Case #:</b>	1851274
<b>Action Pending?</b>	No
<b>Disposition:</b>	Discharged
<b>Disposition Date:</b>	01/16/2019



## End of Report

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