



IAPD Report

KENNETH JOHN MURPHY

CRD# 1659955

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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

KENNETH JOHN MURPHY (CRD# 1659955)

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 **12/11/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OPPENHEIMER & CO. INC.	CRD# 249	01/02/2002
IA	OPPENHEIMER & CO. INC.	CRD# 249	04/07/2021

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **16** 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	JOSEPHTHAL & CO., INC.	3227	NEW YORK, NY	05/23/1990 - 01/02/2002
B	VANDERBILT SECURITIES, INC.	14280	NEW YORK, NY	02/09/1990 - 06/13/1990
B	J. T. MORAN & CO., INC.	15655	NEW YORK, NY	05/20/1988 - 02/14/1990

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



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 **16** 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	11/29/2007
B FINRA	General Securities Representative	Approved	01/02/2002
B NYSE American LLC	General Securities Representative	Approved	01/02/2002
B NYSE Arca, Inc.	General Securities Representative	Approved	08/27/2013
B NYSE Texas, Inc.	General Securities Representative	Approved	08/27/2013
B Nasdaq ISE, LLC	General Securities Representative	Approved	11/29/2007
B Nasdaq PHLX LLC	General Securities Representative	Approved	08/27/2013
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B New York Stock Exchange	General Securities Representative	Approved	01/02/2002
B Alabama	Agent	Approved	10/05/2012
B California	Agent	Approved	03/27/2014
B Colorado	Agent	Approved	08/07/2025
B Connecticut	Agent	Approved	02/21/2017



Qualifications

Regulator	Registration	Status	Date
B Delaware	Agent	Approved	10/11/2017
B Florida	Agent	Approved	01/02/2002
B Illinois	Agent	Approved	01/02/2002
B Maryland	Agent	Approved	12/02/2020
B Massachusetts	Agent	Approved	02/01/2018
B Michigan	Agent	Approved	05/15/2017
B New Jersey	Agent	Approved	04/15/2015
B New York	Agent	Approved	01/02/2002
IA New York	Investment Adviser Representative	Approved	04/07/2021
B North Carolina	Agent	Approved	02/25/2014
B Ohio	Agent	Approved	07/23/2019
B Rhode Island	Agent	Approved	04/13/2015
B Vermont	Agent	Approved	01/25/2023

Branch Office Locations

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

OPPENHEIMER & CO. INC.
KEENE, NY

OPPENHEIMER & CO. INC.
WHITE PLAINS, 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, 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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B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B	General Securities Representative Examination (S7)	Series 7	04/25/1987
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State Securities Law Exams

Exam	Category	Date
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IA	Uniform Investment Adviser Law Examination (S65)	Series 65	04/01/1998
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B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/18/1987
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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	05/23/1990 - 01/02/2002	JOSEPHTHAL & CO., INC.	CRD# 3227	NEW YORK, NY
B	02/09/1990 - 06/13/1990	VANDERBILT SECURITIES, INC.	CRD# 14280	
B	05/20/1988 - 02/14/1990	J. T. MORAN & CO., INC.	CRD# 15655	
B	12/22/1987 - 05/26/1988	SHERWOOD CAPITAL, INC.	CRD# 10474	
B	04/29/1987 - 12/17/1987	THE STUART-JAMES COMPANY, INC.	CRD# 11691	

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
01/2002 - Present	OPPENHEIMER & CO. INC.	FINANCIAL ADVISOR	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
Regulatory Event	2

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:	FL DIVISION OF SECURITIES AND INVESTOR PROTECTION, *See FAQ #1*
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	06/09/1992
Docket/Case Number:	92.176.DOS
Employing firm when activity occurred which led to the regulatory action:	JOSEPHTHAL LYON & ROSS, INC.
Product Type:	
Other Product Type(s):	
Allegations:	ON 6-12-92, THE STATE OF FLORIDA APPROVED SUBJECT INDIVIDUAL AS AN ASSOCIATED PERSON OF JOSEPHTHAL LYON & ROSS, INC. PURSUANT TO AN AGREEMENT.
Current Status:	Final
Resolution:	Consent
Resolution Date:	06/12/1992
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	THE TERMS OF THE AGREEMENT PROVIDE, BUT ARE NOT



LIMITED TO THE FOLLOWING: MURPHY AGREES NOT TO ACT IN ANY PRINCIPAL, SUPERVISORY, OR MANAGERIAL CAPACITY WHILE EMPLOYED BY JLR. SUCH CONDITIONS WILL REMAIN IN EFFECT THROUGHOUT THE REGISTRATION WITH THIS FIRM OR UNTIL RELIEF IS OTHERWISE SOUGHT AND GRANTED. CONTACT FL AGENT REGISTRATION SECTION FOR FURTHER INFORMATION.

Regulator Statement Not Provided

Reporting Source: Individual
Regulatory Action Initiated By: STATE OF FLORIDA

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 06/09/1992

Docket/Case Number: 92.176.DOS

Employing firm when activity occurred which led to the regulatory action: JOSEPH THAL LYON & ROSS, INC.

Product Type: No Product

Other Product Type(s):

Allegations: N/A

Current Status: Final

Resolution: Consent

Resolution Date: 06/12/1992

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: I ACCEPTED AND SIGNED A SUPERVISION AGREEMENT WITH THE STATE OF FLORIDA.

Broker Statement I AM SUPERVISED BY MR CHARLES RODEN BRANCH MANAGER FOR MY PLACE OF EMPLOYMENT. I OR MY FIRM CAN REQUEST IN WRITING RELIEF OF THE AGREEMENT AT A LATER DATE FROM THE SECURITIES DIVISION OF THE STATE OF FLORIDA. PURSUANT TO A LETTER DATED NOVEMBER 5, 1998, MR. KENNETH MURPHY REQUESTED AND WAS GRANTED A RELIEF FROM THE CONDITIONS IMPOSED ON HIM BY THE STATE OF FLORIDA. PURSUANT TO NEW RULES, PLEASE MOVE THIS INCIDENT TO A "Z" STATUS. THIS IS NO LONGER REPORTABLE.

Disclosure 2 of 2

Reporting Source: Regulator
Regulatory Action Initiated By: STATE OF CT, DEPT OF BANKING

Sanction(s) Sought:

Other Sanction(s) Sought:



Date Initiated:	10/13/1989
Docket/Case Number:	Unknown
Employing firm when activity occurred which led to the regulatory action:	J.T. MORAN, INC.
Product Type:	
Other Product Type(s):	
Allegations:	PARTICIPATED AS AN AGENT OF JT MORAN INC., IN THE SELLING OF UNREGISTERED SECURITIES.
Current Status:	Final
Resolution:	Consent
Resolution Date:	06/15/1990
Sanctions Ordered:	Monetary/Fine \$500.00
Other Sanctions Ordered:	
Sanction Details:	ON JUNE 15, 1990, KENNETH JOHN MURPHY ENTERED INTO A STIPULATION AGREEMENT WITH THE CT SECURITIES AND BUSINESS INVESTMENTS DIVISION IN SETTLEMENT OF THE ALLEGATIONS RAISED IN AN NOTICE OF INTENT TO REVOKE REGISTRATION AS AN AGENT AND A NOTICE OF INTENT TO FINE ISSUED ON OCTOBER 13, 1989. IN SETTLEMENT, MR MURPHY HAS WITHOUT ADMITTING OR DENYING ANY VIOLATION OF LAW ,AGREED TO PAY A \$500 FINE AND TO CERTAIN RESTRICTIONS ON HIS SOLICITATION AND SALE OF SECURITIES IN CT.
Regulator Statement	Not Provided
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Reporting Source:	Individual
Regulatory Action Initiated By:	DEPARTMENT BANKING, STATE OF CONNECTICUT
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	10/13/1989
Docket/Case Number:	UNKNOWN
Employing firm when activity occurred which led to the regulatory action:	J.T. MORAN, INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	BLUE SKY VIOLATION
Current Status:	Final
Resolution:	Consent
Resolution Date:	06/15/1990



Sanctions Ordered: Monetary/Fine \$500.00

Other Sanctions Ordered:

Sanction Details: STIPULATION AGREEMENT \$500 FINE, BARRED FOR 60 DAYS FROM SOLICITING FOR PURCHASE OR SALE ANY SECURITY HAVING A BID PRICE OF LESS THAN \$3.00 @ THE TIME OF SUCH SOLICATION OR SALE, OTHER THAN SECURITIES LISTED ON A NATION SECURITIES EXCHANGE OR QUOTED ON THE NATIONAL MARKET SYSTEM AT THE NASD, SECURITIES OF INVESTMENT COMPANIES FORMED UNDER THE INVESTMENT COMPANY ACT. OF 1940, SECURITIES WHOSE INCOME IS EXEMPT FROM FEDERAL TAXATION AND BONDS OR SIMILIAR TYPES OF SECURITIES.

Broker Statement CONCERNING THE INCIDENT IN ITEM NUMBER EIGHT ABOVE, I WAS PRESENTED WITH A BLUE SKY LIST BY MANAGEMENT OF J.T. MORAN THAT INDICATED THE STOCK IN QUESTION WAS BLUE SKYED IN THE STATE OF CT., WHEN IN FACT IT WASN'T.



End of Report

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