



## IAPD Report

# ALAN ROBERT RIFFLE

CRD# 1742904

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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

### ALAN ROBERT RIFFLE (CRD# 1742904)

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 **06/08/2022**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	OPPENHEIMER & CO. INC.	CRD# 249	03/20/2009
<b>IA</b>	OPPENHEIMER & CO. INC.	CRD# 249	04/22/2009

### QUALIFICATIONS

This representative is currently registered in **8** SRO(s) and **17** 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>	STANFORD GROUP COMPANY	39285	HOUSTON, TX	01/26/2007 - 03/16/2009
<b>IA</b>	STANFORD GROUP COMPANY	39285	HOUSTON, TX	01/26/2007 - 03/16/2009
<b>IA</b>	MORGAN STANLEY	7556	HOUSTON, TX	09/17/1999 - 01/29/2007

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	1
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 **17** jurisdiction(s) and 8 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	03/20/2009
<b>B</b>	FINRA	General Securities Representative	Approved	03/20/2009
<b>B</b>	NYSE American LLC	General Securities Representative	Approved	03/20/2009
<b>B</b>	NYSE Arca, Inc.	General Securities Representative	Approved	03/20/2009
<b>B</b>	Nasdaq ISE, LLC	General Securities Representative	Approved	03/20/2009
<b>B</b>	Nasdaq PHLX LLC	General Securities Representative	Approved	03/20/2009
<b>B</b>	Nasdaq Stock Market	General Securities Representative	Approved	03/20/2009
<b>B</b>	New York Stock Exchange	General Securities Representative	Approved	03/20/2009
<b>B</b>	Arizona	Agent	Approved	04/24/2009
<b>B</b>	California	Agent	Approved	03/23/2009
<b>B</b>	Colorado	Agent	Approved	03/26/2009
<b>B</b>	Delaware	Agent	Approved	08/16/2010
<b>B</b>	Florida	Agent	Approved	03/27/2009



## Qualifications

	Regulator	Registration	Status	Date
B	Illinois	Agent	Approved	03/23/2009
B	Indiana	Agent	Approved	04/23/2009
B	Maryland	Agent	Approved	03/23/2009
B	Nevada	Agent	Approved	03/22/2016
B	New Jersey	Agent	Approved	04/23/2009
B	New Mexico	Agent	Approved	07/17/2019
B	New York	Agent	Approved	04/27/2009
B	North Carolina	Agent	Approved	01/07/2022
B	Ohio	Agent	Approved	02/03/2021
B	Pennsylvania	Agent	Approved	03/23/2009
B	Texas	Agent	Approved	04/22/2009
IA	Texas	Investment Adviser Representative	Approved	04/22/2009
B	Virginia	Agent	Approved	03/24/2015

## Branch Office Locations

**OPPENHEIMER & CO. INC.**  
711 LOUISIANA STREET  
15TH FLOOR  
HOUSTON, TX 77002



## 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, 4 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
	Futures Managed Funds Examination (S31)	Series 31	01/31/2003
	National Commodity Futures Examination (S3)	Series 3	10/16/1989
	General Securities Representative Examination (S7)	Series 7	08/19/1989

#### State Securities Law Exams

Exam	Category	Date
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	Uniform Investment Adviser Law Examination (S65)	Series 65	08/11/2009
	Uniform Securities Agent State Law Examination (S63)	Series 63	12/10/1987

### 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	01/26/2007 - 03/16/2009	STANFORD GROUP COMPANY	CRD# 39285	HOUSTON, TX
IA	01/26/2007 - 03/16/2009	STANFORD GROUP COMPANY	CRD# 39285	HOUSTON, TX
IA	09/17/1999 - 01/29/2007	MORGAN STANLEY	CRD# 7556	HOUSTON, TX
B	09/01/1999 - 01/29/2007	MORGAN STANLEY DW INC.	CRD# 7556	HOUSTON, TX
B	03/08/1995 - 09/15/1999	CIBC WORLD MARKETS	CRD# 630	NEW YORK, NY
B	04/04/1995 - 04/18/1995	OPPENHEIMER & CO., INC.	CRD# 630	
B	10/28/1993 - 03/16/1995	COMMONWEALTH ASSOCIATES	CRD# 20833	NEW YORK, NY
B	08/24/1989 - 11/01/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, 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
03/2009 - Present	OPPENHEIMER & CO. INC.	FA	Y	HOUSTON, TX, 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.CO-TRUSTEE OF JEAN EDWARDS CHILDREN'S TRUST FOR VICTORIA RIFFLE.
- 2.RIFFLE FAMILY TRUST.
- 3.JEAN EDWARDS CHILDREN'S TRUST FOR VICTORIA RIFFLE.
- 4.VICTORIA LYNN RIFFLE INSURANCE TRUST. ALAN RIFFLE IS CO-TRUSTEE ON THE ABOVE MENTIONED TRUSTS. THIS OCCUPIES APPROXIMATELY ONE HOUR A MONTH OF TIME TO REVIEW.
- 5.GOLD COUNTRY CLUB BOARD MEMBER -29-18 1-2 HOURS A MONTH  
0 (ZERO) HOURS DURING SECURITY TRADING HOURS. HELP IN MONITORING THE CLUB ACTIVITIES, DIRECTION AND MEMBERSHIP.
- 6.CO-TRUSTEE OF A LIFE INSURANCE TRUST REQUIRING 1 HOUR OF REVIEW TWICE A YEAR.



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

7.VICTORIA RIFFLE INS TRUST-NO-INSURANCE TRUST-TRUSTEE-10 MINUTES-0-TRUSTEE DUTIES 2-13-1996-TRUST-  
ADDRESS: 9500 BORMET DR. STE 104, MOKENA, IL 60448





## 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	1
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 1

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** LEHMAN BROTHERS

**Allegations:** THE STATEMENT OF CLAIMS ALLEGED UNSUITABILITY AND CHURNING BY A SINGLE INDIVIDUAL AND ALLEGED DAMAGES IN AN AMOUNT NOT LES THAN \$95,000 AGAINST THE APPLICANT, HIS EMPLOYER, A NATIONAL SECURITIES FIRM, AND ANOTHER EMPLOYEE OF THAT SECURITIES FIRM.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$95,000.00

### Customer Complaint Information

**Date Complaint Received:** 04/23/1993

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 05/01/1993

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information



<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	PACIFIC STOCK EXCHANGE; ARL-03293
<b>Date Notice/Process Served:</b>	05/01/1993
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	08/18/1993
<b>Monetary Compensation Amount:</b>	\$0.00
<b>Individual Contribution Amount:</b>	\$10,000.00
<b>Broker Statement</b>	<p>APPLICANT CONTRIBUTED \$10,000 IN SETTLEMENT OF ALL CLAIMS ALLEGED AGAINST HIM AND RECEIVED A RELEASE FROM THE CLAIMANT AND DISMISSAL OF THE ARBITRATION. THE STATEMENT OF CLAIM REFERRED TO ABOVE HAS BEEN THE ONLY STATEMENT EVER COMMENCED AGAINST THE APPLICANT. THE ARBITRATION WAS SETTLED FOR AN AMOUNT SUBSTANTIALLY LESS THAN THAT SOUGHT BY THE CLAIMANT TO AVOID THE EXPENDITURE OF FUNDS AND TIME THAT WOULD HAVE BEEN REQUIRED TO DEFEND THE ALLEGATIONS MADE BY THE CLAIMANT. HAD THE MATTER BEEN HEARD BY AN ARBITRATION PANEL, THE APPLICANT WOULD HAVE DEMONSTRATED THAT THE CLAIMANT WAS A SOPHISTICATED INVESTOR, WITH SUBSTANTIAL NET WORTH WHO HAD STATED THAT HIS INVESTMENT OBJECTIVE WAS "APPRECIATION WITH RISK." APPLICANT WOULD HAVE FURTHER DEMONSTRATED AT THE HEARING THAT THE CLAIMANT WAS AWARE OF AND APPROVED OF-- ON A CONSISTENT AND FREQUENT BASIS--THE LEVEL OF TRADING IN HIS ACCOUNT. IN FACT, THE CLAIMANT RECEIVED MONTHLY STATEMENTS OF HIS ACCOUNT'S ACTIVITY AS WELL AS CONFIRMATION.</p>



## 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:** LEHMAN BROTHERS INC.

**Termination Type:** Permitted to Resign

**Termination Date:** 10/13/1993

**Allegations:** N/A  
AT TERMINATION, MR. RIFFLE WAS UNDER REVIEW  
IN CONNECITON WITH A CUSTOMER'S PURCHASE ON A SECONDARY  
OFFERIN  
AND SUBSEQUENT SALE OF U.S. STEEL COMMON STOCK.

**Product Type:**

**Other Product Types:**

**Broker Statement** UPON REVIEW, THE FIRM DETERMINED TO CANCEL THE  
TRANSACTIONS AND CHARGE MR. RIFFLE WITH THE LOSS OF \$5,551.00  
ALAN WERNER IS ONE OF MY BEST CLIENTS AND HAS  
TRANSFERRED HIS ACCOUNT TO ME AT CWA. WHILE AT LEHMAN WE  
WERE  
VERY ACTIVE IN HIS ACCOUNT & PARTICIPATED IN IPO'S AND  
SECONDARY OFFERINGS. IN KEEPING WITH MR. WERNER'S USUAL  
TRADING  
LEVEL I PURCHASED 1,000 SHASRES OF USX AT 36 3/4. UNFORTUNATELY  
THE SHARES DROPPED TO 28, UPON HIS AGREEMENT WE SOLD AT 30.  
AFTER THE LOSS I ADVISED HIM I WOULD TRY AND MAKE UP FOR THE  
LOSS, ( I EVEN DISCUSSED TAKING THE LOSS PERSONALLY THE  
APPROPRIATE INTERNAL PROCEDURES). IT WAS THEN AGREED THAT I  
WOULD TAKE THE LOSS TO RECTIFY THE PROBLEM. THERE WAS NO  
FURTHER COMPLAINT OR LETTER FROM MR. WERNER, HOWEVER,  
LEHMAN  
BROTHERS FELT THE USX TRANSACTION WAS UNJUSTIFIABLE, THEY  
INITIATED AN INTERNAL REVIEW IN SEPTEMBER 1993. IN THE END I  
PAID THE LOSS THIS DAY WE HAVE AN EXCELLENT RELATIONSHIP. MR.  
WERNER WOULD NEVER HAVE MOVED HIS ACCOUNT TO  
COMMONWEALTH  
ASSOC. HAD I NOT HANDLED HIS ACCOUNT AT LEHMAN IN A COMPLETELY  
APPROPRIATE FASHION.



## End of Report

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