



IAPD Report

PETER JAMES MULDOWNEY

CRD# 2164998

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5
Disclosure Information	6

i 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

PETER JAMES MULDOWNEY (CRD# 2164998)

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 **02/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OPPENHEIMER & CO. INC.	CRD# 249	01/03/2003
IA	OPPENHEIMER & CO. INC.	CRD# 249	03/26/2010

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **4** 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	CIBC WORLD MARKETS CORP.	630	NEW YORK, NY	10/28/2002 - 01/03/2003
B	DONALDSON, LUFKIN & JENRETTE SECURITIES CORPORATION	7560	JERSEY CITY, NJ	09/24/1996 - 10/10/2002
B	CS FIRST BOSTON CORPORATION	816	NEW YORK, NY	11/14/1991 - 07/19/1996

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	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 4 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	01/03/2003
B FINRA	General Securities Representative	Approved	01/03/2003
B NYSE American LLC	General Securities Representative	Approved	01/03/2003
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	11/28/2007
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	01/03/2003
B Connecticut	Agent	Approved	04/24/2008
B Florida	Agent	Approved	08/16/2018
B New Jersey	Agent	Approved	01/03/2003
IA New Jersey	Investment Adviser Representative	Approved	03/26/2010



Qualifications

Regulator	Registration	Status	Date
B New York	Agent	Approved	01/03/2003
IA New York	Investment Adviser Representative	Approved	04/07/2021

Branch Office Locations

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

OPPENHEIMER & CO. INC.
DALKEY, Ireland

OPPENHEIMER & CO. INC.
RYE BROOK, 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
------	----------	------

No information reported.

General Industry/Product Exams

Exam	Category	Date
------	----------	------

Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
National Commodity Futures Examination (S3)	Series 3	10/21/1991
General Securities Representative Examination (S7)	Series 7	10/14/1991

State Securities Law Exams

Exam	Category	Date
------	----------	------

Uniform Investment Adviser Law Examination (S65)	Series 65	03/28/2007
Uniform Securities Agent State Law Examination (S63)	Series 63	10/25/1991

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	10/28/2002 - 01/03/2003	CIBC WORLD MARKETS CORP.	CRD# 630	NEW YORK, NY
B	09/24/1996 - 10/10/2002	DONALDSON, LUFKIN & JENRETTE SECURITIES CORPORATION	CRD# 7560	JERSEY CITY, NJ
B	11/14/1991 - 07/19/1996	CS FIRST BOSTON CORPORATION	CRD# 816	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
01/2003 - Present	FAHNESTOCK & CO. INC.	Mass Transfer	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	1
Customer Dispute	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 1

Reporting Source: Regulator

Regulatory Action Initiated By: NEW YORK STOCK EXCHANGE DIVISION OF ENFORCEMENT

Sanction(s) Sought: Other: UNKNOWN

Date Initiated: 10/10/2005

Docket/Case Number: HPD#: 05-173

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

Product Type: Other: UNKNOWN

Allegations: **10/10/05**STIPULATION OF FACTS AND CONSENT TO PENALTY FILED BY NYSE DIVISION OF ENFORCEMENT AND PENDING.CONSENTED TO FINDINGS THAT HE:1.VIOLATED EXCHANGE RULE 408(A) IN THAT HE ACCEPTED ONE OR MORE ORDERS FOR THE ACCOUNTS OF CUSTOMERS FROM A PERSON OTHER THAN THE CUSTOMERS WITHOUT FIRST OBTAINING THE CUSTOMERS' WRITTEN AUTHORIZATION. 2.VIOLATED EXCHANGE RULE 476(A)(6) BY ENGAGING IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE IN THAT HE, WITHOUT ADVISING HIS MEMBER ORGANIZATION EMPLOYER OF A CUSTOMER'S DEATH, EFFECTED A TRANSACTION IN THE ACCOUNT OF A DECEASED CUSTOMER WITHOUT PROPER AUTHORIZATION. CENSURE AND ONE (1) MONTH SUSPENSION FROM MEMBERSHIP, ALLIED MEMBERSHIP, APPROVED PERSON STATUS, AND FROM EMPLOYMENT OR ASSOCIATION IN ANY CAPACITY WITH ANY EXCHANGE MEMBER OR MEMBER ORGANIZATION AND A \$10,000 FINE.



Current Status:	Final
Resolution:	Decision
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:	12/09/2005
Sanctions Ordered:	Censure Suspension Other: \$10,000 FINE.
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: UNKNOWN

Duration: ONE MONTH

Start Date: 12/09/2005

End Date: 01/09/2006

Regulator Statement ****12/15/05**UNLESS A REVIEW BY THE NYSE BOARD OF DIRECTORS OR THE NYSE'S BOARD OF EXECUTIVES IS REQUESTED, THIS DECISION WILL BECOME FINAL 25 CALENDAR DAYS AFTER NOTICE OF THE HEARING PANEL'S DETERMINATION HAS BEEN SERVED UPON THE RESPONDENT. THE DECISION IS NOW FINAL.**

.....

Reporting Source: Individual

Regulatory Action Initiated By: NEW YORK STOCK EXCHANGE DIVISION OF ENFORCEMENT

Sanction(s) Sought: Censure

Date Initiated: 10/10/2005

Docket/Case Number: HPD#: 05-173

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

Product Type: No Product

Allegations: ****10/10/05**STIPULATION OF FACTS AND CONSENT TO PENALTY FILED BY NYSE DIVISION OF ENFORCEMENT AND PENDING. CONSENTED TO FINDINGS THAT HE: 1. VIOLATED EXCHANGE RULE 408(A) IN THAT HE ACCEPTED ONE OR MORE ORDERS FOR THE ACCOUNTS OF CUSTOMERS FROM A PERSON OTHER THAN THE CUSTOMERS WITHOUT FIRST OBTAINING THE CUSTOMERS' WRITTEN AUTHORIZATION. 2. VIOLATED EXCHANGE RULE 476(A)(6) BY ENGAGING IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE IN THAT HE, WITHOUT ADVISING HIS MEMBER ORGANIZATION EMPLOYER OF A CUSTOMER'S**



DEATH, EFFECTED A TRANSACTION IN THE ACCOUNT OF A DECEASED CUSTOMER WITHOUT PROPER AUTHORIZATION. CENSURE AND ONE (1) MONTH SUSPENSION FROM MEMBERSHIP, ALLIED MEMBERSHIP, APPROVED PERSON STATUS, AND FROM EMPLOYMENT OR ASSOCIATION IN ANY CAPACITY WITH ANY EXCHANGE MEMBER OR MEMBER ORGANIZATION AND A \$10,000 FINE.

Current Status: Final

Resolution: Decision

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: 12/09/2005

Sanctions Ordered: Censure

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: UNKNOWN

Duration: ONE MONTH

Start Date: 12/09/2005

End Date: 01/09/2006

Broker Statement **12/15/05**UNLESS A REVIEW BY THE NYSE BOARD OF DIRECTORS OR THE NYSE'S BOARD OF EXECUTIVES IS REQUESTED, THIS DECISION WILL BECOME FINAL 25 CALENDAR DAYS AFTER NOTICE OF THE HEARING PANEL'S DETERMINATION HAS BEEN SERVED UPON THE RESPONDENT. CONTACT: PEGGY GERMINO 212-656-8450.



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: UNSUITABLE INVESTMENTS IN ARS

Product Type: Other: ARS

Alleged Damages: \$87,537,250.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 09-04513

Date Notice/Process Served: 08/14/2009

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/06/2012

Monetary Compensation Amount: \$4,500,000.00

Individual Contribution Amount: \$0.00

Broker Statement CLAIMANT STILL OWNES IN EXCESS OF \$80 MILLION IN ARS; THIS IS A LIQUIDITY ISSUE, AND NOT A VALUATION ISSUE, CAUSED BY THE WORLDWIDE CREDIT CRISIS AND COLLAPSE OF THE ARS MARKET. IN ADDITION TO MONETARY COMPENSATION. SETTLEMENT INCLUDES THE FIRM'S AGREEMENT TO BUY BACK CLAIMANT'S ARS AT A FUTURE DATE, UNLESS THEY ARE REDEEMED BY THE ISSUER BEFORE SUCH DATE.

Disclosure 2 of 2

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: DONALDSON, LUFKIN & JENRETTE SECURITIES CORPORATION AND CREDIT SUISSE FIRST BOSTON CORP.

Allegations: COMMON LAW AND STATUTORY FRAUD, MISREPRESENTATION, BREACH OF FIDUCIARY DUTY, FAILURE TO FOLLOW DIRECTIONS AND INVESTMENT OBJECTIVES, UNSUITABILITY, UNAUTHORIZED TRADING, FAILURE TO FOLLOW THE SUITABILITY RULES, AND CHARGING EXCESSIVE COMMISSIONS.



Product Type: Other
Other Product Type(s): UNSPECIFIED SECURITIES.
Alleged Damages: \$204,944.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #03-02750](#)

Date Notice/Process Served: 04/11/2003

Arbitration Pending? No

Disposition: Award

Disposition Date: 05/24/2005

Disposition Detail: RESPONDENT IS SOLELY LIABLE FOR AND SHALL PAY TO CLAIMANT COMPENSATORY DAMAGES IN THE AMOUNT OF \$43,313.00.

.....

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: DONALDSON, LUFKIN & JENRETTE SECURITIES CORPORATION

Allegations: CLAIMANT'S CLAIM INCLUDES ALLEGATIONS OF MISREPRESENTATION, UNAUTHORIZED AND UNSUITABLE TRADES, AND BREACH OF FIDUCIARY DUTY.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$204,944.00

Customer Complaint Information

Date Complaint Received: 04/23/2003

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 04/23/2003

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD ARBITRATION NO. 03-02750](#)

Date Notice/Process Served: 04/23/2003

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 05/24/2005

Monetary Compensation Amount: \$43,313.00

Individual Contribution \$43,313.00



Amount:

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: DONALDSON, LUFKIN & JENRETTE, CREDIT SUISSE FIRST BOSTON
Allegations: UNAUTHORIZED TRADE, UNSUITABLE SECURITY
Product Type: Equity - OTC
Alleged Damages: \$204,994.00

Customer Complaint Information

Date Complaint Received: 04/21/2003
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 04/21/2003

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD 03-02750](#)

Date Notice/Process Served: 04/21/2003
Arbitration Pending? No
Disposition: Award to Customer
Disposition Date: 05/24/2005
Monetary Compensation Amount: \$43,313.00
Individual Contribution Amount: \$43,313.00



End of Report

This page is intentionally left blank.