



IAPD Report

PHILIP ORPHEOS GULLO

CRD# 2250333

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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

PHILIP ORPHEOS GULLO (CRD# 2250333)

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 **01/27/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OPPENHEIMER & CO. INC.	CRD# 249	11/04/2021
IA	OPPENHEIMER & CO. INC.	CRD# 249	11/04/2021

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **2** 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	EQUITABLE ADVISORS, LLC	6627	NEW YORK, NY	10/29/2013 - 10/06/2021
B	EQUITABLE ADVISORS, LLC	6627	NEW YORK, NY	06/16/2000 - 10/06/2021
B	WEATHERLY SECURITIES CORPORATION	11081	NEW YORK, NY	10/08/1998 - 05/26/2000

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



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 2 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 Principal	Approved	11/04/2021
B Cboe Exchange, Inc.	General Securities Representative	Approved	11/04/2021
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	11/04/2021
B Cboe Exchange, Inc.	Registered Options Principal	Approved	11/04/2021
B FINRA	General Securities Principal	Approved	11/04/2021
B FINRA	General Securities Representative	Approved	11/04/2021
B FINRA	General Securities Sales Supervisor	Approved	11/04/2021
B FINRA	Municipal Securities Principal	Approved	11/04/2021
B FINRA	Municipal Securities Representative	Approved	11/04/2021
B FINRA	Registered Options Principal	Approved	11/04/2021
B FINRA	Operations Professional	Approved	01/27/2026
B NYSE American LLC	General Securities Principal	Approved	11/04/2021
B NYSE American LLC	General Securities Representative	Approved	11/04/2021



Qualifications

Regulator	Registration	Status	Date
B NYSE American LLC	General Securities Sales Supervisor	Approved	11/04/2021
B NYSE American LLC	Municipal Securities Principal	Approved	11/04/2021
B NYSE American LLC	Municipal Securities Representative	Approved	11/04/2021
B NYSE American LLC	Registered Options Principal	Approved	11/04/2021
B NYSE Arca, Inc.	General Securities Principal	Approved	11/04/2021
B NYSE Arca, Inc.	General Securities Representative	Approved	11/04/2021
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	11/04/2021
B NYSE Arca, Inc.	Registered Options Principal	Approved	11/04/2021
B NYSE Texas, Inc.	General Securities Principal	Approved	11/04/2021
B NYSE Texas, Inc.	General Securities Representative	Approved	11/04/2021
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	11/04/2021
B Nasdaq ISE, LLC	General Securities Principal	Approved	11/04/2021
B Nasdaq ISE, LLC	General Securities Representative	Approved	11/04/2021
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	11/04/2021
B Nasdaq ISE, LLC	Registered Options Principal	Approved	11/04/2021
B Nasdaq PHLX LLC	General Securities Principal	Approved	11/04/2021
B Nasdaq PHLX LLC	General Securities Representative	Approved	11/04/2021
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	11/04/2021
B Nasdaq PHLX LLC	Registered Options Principal	Approved	11/04/2021



Qualifications

Regulator	Registration	Status	Date
B Nasdaq Stock Market	General Securities Principal	Approved	11/04/2021
B Nasdaq Stock Market	General Securities Representative	Approved	11/04/2021
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	11/04/2021
B Nasdaq Stock Market	Registered Options Principal	Approved	11/04/2021
B New York Stock Exchange	General Securities Principal	Approved	11/04/2021
B New York Stock Exchange	General Securities Representative	Approved	11/04/2021
B New York Stock Exchange	General Securities Sales Supervisor	Approved	11/04/2021
B New York Stock Exchange	Municipal Securities Principal	Approved	11/04/2021
B New York Stock Exchange	Municipal Securities Representative	Approved	11/04/2021
B New Jersey	Agent	Approved	11/04/2021
IA New Jersey	Investment Adviser Representative	Approved	11/04/2021
B New York	Agent	Approved	11/04/2021
IA New York	Investment Adviser Representative	Approved	11/04/2021

Branch Office Locations

OPPENHEIMER & CO. INC.
401 BROADHOLLOW RD
SUITE 401
MELVILLE, NY 11747

OPPENHEIMER & CO. INC.
2 JERICHO PLAZA
SUITE 113
JERICHO, NY 11753



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 6 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	12/23/1998
B Municipal Securities Principal Examination (S53)	Series 53	02/26/1996
B General Securities Principal Examination (S24)	Series 24	08/22/1995
B Registered Options Principal Examination (S4)	Series 4	05/21/1993

General Industry/Product Exams

Exam	Category	Date
B Operations Professional Examination (S99TO)	Series 99TO	01/27/2026
B Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	07/23/1992

State Securities Law Exams


Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	08/21/2000



Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/30/1992

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
IA	10/29/2013 - 10/06/2021	EQUITABLE ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	06/16/2000 - 10/06/2021	EQUITABLE ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	10/08/1998 - 05/26/2000	WEATHERLY SECURITIES CORPORATION	CRD# 11081	NEW YORK, NY
B	07/24/1997 - 08/27/1998	FIRST ASSET MANAGEMENT, INC.	CRD# 17341	GARDEN CITY, NY
B	10/08/1996 - 04/10/1997	JARON EQUITIES CORP.	CRD# 5764	HICKSVILLE, NY
B	03/22/1996 - 04/07/1997	MATRIX SECURITIES CORPORATION	CRD# 30991	GARDEN CITY, NY
B	07/10/1995 - 03/15/1996	NORTHEAST SECURITIES, INC.	CRD# 25996	MITCHELDFIELD, NY
B	10/03/1994 - 03/21/1995	MERIDIAN, DUNHILL & CO., INC.	CRD# 15294	
B	07/24/1992 - 10/03/1994	DUNHILL EQUITIES, INC.	CRD# 21822	GARDEN CITY, 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
10/2021 - Present	OPPENHEIMER & CO. INC.	Regional Branch Control Officer	Y	JERICHO, NY, United States
05/2000 - 10/2021	EQUITABLE ADVISORS, LLC	Director Business Practices and Controls	Y	NEW YORK, NY, United States
05/2000 - 06/2020	AXA ADVISORS, LLC	Regional Director of Compliance	Y	NEW YORK, NY, United States



Registration & Employment History



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.

STEVEN GULLO IRREVOCABLE TRUST, NON-INVESTMENT RELATED. 154 109TH AVE, ELMONT, NY 11003. THIS IS A TRUST OF MY FATHER. I AM TRUSTEE OF THE TRUST. TRUST START DATE 4/7/2017. I SPEND 0 (ZERO) HOURS PER MONTH ON THIS ACTIVITY. DUTIES ARE TO MANAGE THE ASSET (SETTLERS HOME) HELD BY THE TRUST



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

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: Regulator

Employing firm when activities occurred which led to the complaint: DUNHILL EQUITIES, INC

Allegations: MISREPRESENTATION; CHURNING; UNAUTHORIZED TRADING; ACCOUNT RELATED - FAILURE TO SUPERVISE

Product Type:

Alleged Damages: \$184,564.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [UNKNOWN - CASE #94-02947](#)

Date Notice/Process Served: 08/09/1994

Arbitration Pending? No

Disposition: Other

Disposition Date: 07/05/1995

Disposition Detail: AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY;



ATTORNEY'S FEES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS OVER FOR OTHER REASONS; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL; INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC; OTHER COSTS, RELIEF REQUEST HAS BEEN DENIED IN FULL; ATTORNEY'S FEES, RELIEF REQUEST IS OVER FOR OTHER REASONS; ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$500.00

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: DUNHILL EQUITIES, INC
Allegations: FAILED TO SUPERVISE - DAMAGES OF \$184,564
Product Type:
Alleged Damages: \$184,564.00

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.: [National Association of Securities Dealers, Inc.; 94-02947](#)

Date Notice/Process Served: 08/09/1994
Arbitration Pending? No
Disposition: Award to Customer
Disposition Date: 07/05/1995
Monetary Compensation Amount: \$500.00

Individual Contribution Amount:

Firm Statement Not Provided
 THE CUSTOMER ALLEGES INCURRED LOSSES BECAUSE OF THE RESPONDENT MISHANDLING OF THE CUSTOMER BROKERAGE ACCOUNT

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: DUNHILL EQUITIES, INC

Allegations: AS ROP, FAILED TO SUPERVISE REPRESENTATIVE. REGISTERED OPTIONS PRINCIPAL

Product Type: Options

Alleged Damages: \$184,564.00

Customer Complaint Information

Date Complaint Received: 08/09/1994

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/05/1995

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 94-02947](#)

Date Notice/Process Served: 08/09/1994

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 07/05/1995

Monetary Compensation Amount: \$500.00

Individual Contribution Amount: \$500.00

Broker Statement AGREED TO SETTLE AND ENTER AWARD ON THE RECORD IN THE AMOUNT OF \$500. (FIVE HUNDRED DOLLARS) SETTLEMENT WAS MADE TO AVOID THE COST AND EXPENSE OF LITIGATION. NOT PROVIDED



End of Report

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