User Guidance

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IAPD Report

SAYKE ROBERT REILLEY

CRD# 2814096

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

SAYKE ROBERT REILLEY (CRD# 2814096)

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 **06/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OPPENHEIMER & CO. INC.	CRD# 249	04/22/2015
IA	OPPENHEIMER & CO. INC.	CRD# 249	10/20/2015

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **37** 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	LIBERTY PARTNERS FINANCIAL SERVICES, LLC	130390	RALEIGH, NC	10/19/2010 - 03/25/2015
IA	LIBERTY PARTNERS CAPITAL MANAGEMENT, LLC	131117	RALEIGH, NC	01/18/2012 - 06/24/2013
B	BROKERSXPRESS LLC	127081	NEW YORK, NY	10/29/2009 - 10/18/2010

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 **37** 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	04/22/2015
B	Cboe Exchange, Inc.	Registered Options Principal	Approved	04/22/2015
B	Cboe Exchange, Inc.	General Securities Principal	Approved	07/26/2021
B	FINRA	General Securities Principal	Approved	04/22/2015
B	FINRA	General Securities Representative	Approved	04/22/2015
B	FINRA	Registered Options Principal	Approved	04/22/2015
B	NYSE American LLC	General Securities Principal	Approved	04/22/2015
B	NYSE American LLC	General Securities Representative	Approved	04/22/2015
B	NYSE American LLC	Registered Options Principal	Approved	04/22/2015
B	NYSE American LLC	Securities Manager	Approved	07/11/2017
B	NYSE Arca, Inc.	General Securities Principal	Approved	04/22/2015
B	NYSE Arca, Inc.	General Securities Representative	Approved	04/22/2015
B	NYSE Arca, Inc.	Registered Options Principal	Approved	04/22/2015

Qualifications

	Regulator	Registration	Status	Date
B	NYSE Texas, Inc.	General Securities Principal	Approved	04/22/2015
B	NYSE Texas, Inc.	General Securities Representative	Approved	04/22/2015
B	Nasdaq ISE, LLC	General Securities Principal	Approved	04/22/2015
B	Nasdaq ISE, LLC	General Securities Representative	Approved	04/22/2015
B	Nasdaq ISE, LLC	Registered Options Principal	Approved	04/22/2015
B	Nasdaq PHLX LLC	General Securities Principal	Approved	04/22/2015
B	Nasdaq PHLX LLC	General Securities Representative	Approved	04/22/2015
B	Nasdaq PHLX LLC	Registered Options Principal	Approved	04/22/2015
B	Nasdaq Stock Market	General Securities Principal	Approved	04/22/2015
B	Nasdaq Stock Market	General Securities Representative	Approved	04/22/2015
B	Nasdaq Stock Market	Registered Options Principal	Approved	04/22/2015
B	New York Stock Exchange	General Securities Principal	Approved	04/22/2015
B	New York Stock Exchange	General Securities Representative	Approved	04/22/2015
B	New York Stock Exchange	Securities Manager	Approved	07/11/2017
B	Arizona	Agent	Approved	09/12/2025
B	Arkansas	Agent	Approved	09/29/2023
B	California	Agent	Approved	04/27/2015
IA	California	Investment Adviser Representative	Approved	10/20/2015
B	Colorado	Agent	Approved	01/06/2016

Qualifications

	Regulator	Registration	Status	Date
B	Connecticut	Agent	Approved	08/04/2016
B	Delaware	Agent	Approved	03/08/2018
B	Florida	Agent	Approved	04/28/2015
B	Georgia	Agent	Approved	09/03/2025
B	Idaho	Agent	Approved	09/25/2025
B	Illinois	Agent	Approved	04/27/2015
B	Indiana	Agent	Approved	09/03/2025
B	Iowa	Agent	Approved	01/07/2026
B	Kentucky	Agent	Approved	10/17/2022
B	Maine	Agent	Approved	02/21/2023
B	Maryland	Agent	Approved	04/07/2021
B	Michigan	Agent	Approved	08/18/2025
B	Montana	Agent	Approved	08/31/2021
B	Nevada	Agent	Approved	09/20/2023
B	New Hampshire	Agent	Approved	08/11/2025
B	New Jersey	Agent	Approved	04/27/2015
IA	New Jersey	Investment Adviser Representative	Approved	12/10/2015
B	New York	Agent	Approved	04/23/2015
IA	New York	Investment Adviser Representative	Approved	04/07/2021

Qualifications

	Regulator	Registration	Status	Date
B	North Carolina	Agent	Approved	08/13/2025
B	North Dakota	Agent	Approved	02/06/2023
B	Ohio	Agent	Approved	06/04/2019
B	Oklahoma	Agent	Approved	04/27/2015
B	Pennsylvania	Agent	Approved	04/27/2015
B	Puerto Rico	Agent	Approved	07/30/2019
B	Rhode Island	Agent	Approved	06/24/2026
B	South Carolina	Agent	Approved	08/14/2025
B	South Dakota	Agent	Approved	05/06/2025
B	Tennessee	Agent	Approved	01/29/2026
B	Texas	Agent	Approved	04/28/2015
IA	Texas	Investment Adviser Representative	Restricted Approval	07/05/2017
B	Utah	Agent	Approved	02/17/2026
B	Virginia	Agent	Approved	04/28/2025
B	Washington	Agent	Approved	06/23/2026
B	Wisconsin	Agent	Approved	06/18/2024
B	Wyoming	Agent	Approved	01/15/2021

Branch Office Locations

Qualifications

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

OPPENHEIMER & CO. INC.
MOUNT HOLLY, NJ

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 3 principal/supervisory exams, 2 general industry/product exams, and 3 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 Principal Examination (S24)	Series 24	03/05/2014
B	Registered Options Principal Examination (S4)	Series 4	07/05/2007

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	11/21/1996

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	12/09/2015
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	01/14/2012
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/03/1996

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	10/19/2010 - 03/25/2015	LIBERTY PARTNERS FINANCIAL SERVICES, LLC	CRD# 130390	RALEIGH, NC
IA	01/18/2012 - 06/24/2013	LIBERTY PARTNERS CAPITAL MANAGEMENT, LLC	CRD# 131117	RALEIGH, NC
B	10/29/2009 - 10/18/2010	BROKERSXPRESS LLC	CRD# 127081	NEW YORK, NY
B	03/20/2009 - 10/23/2009	STERNE AGEE FINANCIAL SERVICES, INC.	CRD# 18456	NEW YORK, NY
B	02/28/2007 - 03/24/2009	NEXT FINANCIAL GROUP, INC.	CRD# 46214	NEW YORK, NY
B	08/17/2006 - 03/05/2007	SPENCER CLARKE LLC	CRD# 41316	NEW YORK, NY
B	10/23/2002 - 08/29/2006	MAXIM GROUP LLC	CRD# 120708	NEW YORK, NY
B	04/20/2000 - 10/23/2002	INVESTEC ERNST & COMPANY	CRD# 266	NEW YORK, NY
B	05/12/1998 - 09/08/1998	GKN SECURITIES CORP.	CRD# 19415	NEW YORK, NY
B	11/26/1996 - 04/29/1998	DUKE & CO., INC.	CRD# 8035	NEW YORK, NY
B	03/30/1998 - 04/28/1998	BRIARWOOD INVESTMENT COUNSEL	CRD# 6368	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
04/2015 - Present	OPPENHEIMER & CO	FINANCIAL ADVISOR	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.

1.CITADEL PROPERTY MANAGEMENT, NON-INVESTMENT RELATED, 1-2 HOURS A MONTH
2.TOWNSHIP OF MOUNT HOLLY - 23 WASHINGTON ST. MT. HOLLY, NJ 08060 URBAN ECONOMIC ZONE (UEZ) AND POTENTIALLY TOWN COUNCIL. 1 HOUR A MONTHM HELO TOWN MANAGE ITS AFFAIRS AND CONTRIBUTE TO MY COMMUNITY
3.I AM 100% OWN OF ARBOR 33. IT HOLDS REAL ESTATE. P.O. BOX HELD IN MOUNT HOLLY, NJ. I SPEND 2 HOURS A MONTH.

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:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	
Date Initiated:	11/09/2000
Docket/Case Number:	ARBITRATION CASE #98-04460
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Other
Other Product Type(s):	
Allegations:	FAILED TO COMPLY WITH AN ARBITRATION AWARD
Current Status:	Final
Resolution:	Other
Resolution Date:	11/09/2000
Sanctions Ordered:	Suspension
Other Sanctions Ordered:	
Sanction Details:	12-04-00, NASD REGISTRATION SUSPENDED 11/09/00 FOR FAILING TO COMPLY WITH AN ARBITRATION AWARD IN ARBITRATION CASE #98-04460. [011014 33900]

12-04-00, SUSPENSION OF NASD REGISTRATION LIFTED 11/28/00 DUE TO COMPLIANCE WITH THE TERMS OF THE SETTLEMENT AGREEMENT PER ODR E-MAIL.

Reporting Source:	Individual
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	
Date Initiated:	11/09/2000
Docket/Case Number:	NASD. ARB. # 98-04460
Employing firm when activity occurred which led to the regulatory action:	GKN SECURITIES, INC.
Product Type:	Other
Other Product Type(s):	
Allegations:	FAILED TO COMPLY WITH AN ARBITRATION AWARD.
Current Status:	Final
Resolution:	Other
Resolution Date:	11/09/2000
Sanctions Ordered:	Suspension
Other Sanctions Ordered:	
Sanction Details:	ON DECEMBER 14, 2000, NASD REGISTRATION SUSPEND 11/09/00 FOR FAILING TO COMPLY WITH AN ARBITRATION AWARD IN ARBITRATION CASE #98-04460. SUSPENSION OF NASD ARBITRATION LIFTED 11/28/00 DUE TO COMPLIANCE WITH THE TERMS OF THE SETTLEMENT AGREEMENT PER ODR E-MAIL.
Broker Statement	AT NO TIME DID I INTEND TO DISCOUNT THE AUTHORITY OF THE NASD OR THE ARBITRATION PROCESS. FOR THE PERIOD IN QUESTION, THERE WAS A GRIEVANCE ON THE BALANCE OF SETTLEMENT DUE. THIS MATTER HAS SINCE THEN BEEN RECTIFIED BETWEEN ALL PARTIES INVOLVED. I APOLOGIZE FOR ANY INCONVENIENCE.

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:	CLIENT ALLEGES THAT INSTRUCTIONS WERE NOT FOLLOWED ON JUNE 26, 2019.
Product Type:	Options
Alleged Damages:	$24,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	06/28/2019
Complaint Pending?	No
Status:	Withdrawn
Status Date:	09/25/2019
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	The client rescinded the email verbally and in writing and is being reported as industry rules require.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MAXIM GROUP LLC
Allegations:	CLIENT ALLEGES THAT MR. REILLEY MADE UNAUTHORIZED TRANSACTIONS IN HIS ACCOUNT.
Product Type:	Equity - OTC
Alleged Damages:	$9,075.00

Customer Complaint Information

Date Complaint Received:	07/17/2006

Complaint Pending?	No
Status:	Settled
Status Date:	08/11/2006
Settlement Amount:	$6,673.00
Individual Contribution Amount:	$6,673.00

End of Report

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