



IAPD Report

BRETT IAN GOLDSTEIN

CRD# 3104778

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



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

BRETT IAN GOLDSTEIN (CRD# 3104778)

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 **12/12/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	VANDERBILT SECURITIES, LLC	CRD# 5953	04/26/2019
IA	VANDERBILT ADVISORY SERVICES	CRD# 116537	04/26/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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	UBS FINANCIAL SERVICES INC.	8174	MELVILLE, NY	01/16/2009 - 05/07/2019
IA	UBS FINANCIAL SERVICES INC.	8174	MELVILLE, NY	01/16/2009 - 05/07/2019
IA	OPPENHEIMER & CO. INC.	249	JERICHO, NY	07/03/2006 - 01/16/2009

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	3



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 6 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **VANDERBILT ADVISORY SERVICES**

Main Address: 125 FROEHLICH FARM BLVD.
WOODBURY, NY 11797

Firm ID#: 116537

Regulator	Registration	Status	Date
IA	New York Investment Adviser Representative	Approved	04/07/2021

Branch Office Locations

VANDERBILT ADVISORY SERVICES

125 FROEHLICH FARM BLVD.
WOODBURY, NY 11797

Employment 2 of 2

Firm Name: **VANDERBILT SECURITIES, LLC**

Main Address: 125 FROEHLICH FARM BLVD.
WOODBURY, NY 11797

Firm ID#: 5953

Regulator	Registration	Status	Date
B	FINRA General Securities Representative	Approved	04/26/2019
B	Connecticut Agent	Approved	04/26/2019
B	Florida Agent	Approved	04/26/2019
B	Maryland Agent	Approved	04/26/2019
B	New Jersey Agent	Approved	04/26/2019
B	New York Agent	Approved	04/26/2019



Qualifications

Regulator	Registration	Status	Date
B North Carolina	Agent	Approved	04/26/2019

Branch Office Locations

125 FROEHLICH FARM BLVD.
WOODBURY, NY 11797



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
No information reported.		

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	10/28/1998

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	06/30/2006
B Uniform Securities Agent State Law Examination (S63)	Series 63	11/09/1998

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	01/16/2009 - 05/07/2019	UBS FINANCIAL SERVICES INC.	CRD# 8174	MELVILLE, NY
IA	01/16/2009 - 05/07/2019	UBS FINANCIAL SERVICES INC.	CRD# 8174	MELVILLE, NY
IA	07/03/2006 - 01/16/2009	OPPENHEIMER & CO. INC.	CRD# 249	JERICHO, NY
B	01/03/2003 - 01/16/2009	OPPENHEIMER & CO. INC.	CRD# 249	JERICHO, NY
B	10/29/1998 - 01/03/2003	CIBC WORLD MARKETS CORP.	CRD# 630	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
04/2019 - Present	VANDERBILT ADVISORY SERVICES	INVESTMENT ADVISOR REPRESENTATIVE	Y	WOODBURY, NY, United States
04/2019 - Present	VANDERBILT SECURITIES, LLC	REGISTERED REPRESENTATIVE	Y	WOODBURY, NY, United States
01/2009 - 04/2019	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	MELVILLE, 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.

Profit trust. Not Investment related. Start Date: 06/04/2020. Address: 14 skylark RD, Massapequa New York, 11762. Title: Investor. Duties: I am just an investor. Time spent during regular hours: 0%



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	3

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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	OPPENHEIMER & CO. INC.
Allegations:	CLAIMANTS ALLEGE, INTER ALIA, MISREPRESENTATIONS WITH RESPECT TO ARS INVESTMENTS, BEGINNING SEPTEMBER 2004 TO FEBRUARY 2008.
Product Type:	Other: ARS
Alleged Damages:	\$1,675,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA, NEW JERSEY
Docket/Case #:	10-00834
Filing date of arbitration/CFTC reparation or civil litigation:	02/22/2010

Customer Complaint Information

Date Complaint Received:	02/27/2010
Complaint Pending?	No



Status:	Settled
Status Date:	02/15/2012
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00
Firm Statement	REGISTRANT WAS NOT NAMED IN THE STATEMENT OF CLAIM AND DENIES ALLEGATIONS. CLAIMANTS DID NOT SUSTAIN DAMAGES AS A RESULT OF THE FROZEN ARS MARKET. THE FIRM HAS AGREED TO BUY BACK CLAIMANTS' ARS OVER TIME.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	OPPENHEIMER & CO. INC.
Allegations:	CLAIMANTS ALLEGE, INTER ALIA, MISREPRESENTATIONS WITH RESPECT TO ARS INVESTMENTS, BEGINNING SEPTEMBER 2004 TO FEBRUARY 2008.
Product Type:	Other: AUCTION RATE SECURITIES
Alleged Damages:	\$1,675,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	10-00834
Filing date of arbitration/CFTC reparation or civil litigation:	02/22/2010

Customer Complaint Information

Date Complaint Received:	02/27/2010
Complaint Pending?	No
Status:	Settled
Status Date:	02/15/2012
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00
Broker Statement	REGISTRANT WAS NOT NAMED IN THE STATEMENT OF CLAIM AND DENIES ALLEGATIONS. CLAIMANTS DID NOT SUSTAIN DAMAGES AS A RESULT OF THE FROZEN ARS MARKET. THE FIRM HAS AGREED TO BUY BACK CLAIMANTS' ARS OVER TIME. THIS WAS NOT A SETTLEMENT OF A DISPUTE BETWEEN THE CLIENT AND THE REPRESENTATIVE AND WAS NOT BASED ON THE MERITS OF THE CLIENT'S SPECIFIC CONCERNS OR ANY FINDING OF FAULT, MISCONDUCT OR WRONGDOING BY THE REPRESENTATIVE. THIS MATTER IS BEING REPORTED AS A SETTLEMENT PURSUANT TO THE



REQUIREMENTS OF THE GLOBAL REPURCHASE AGREEMENT, FINRA REGULATORY NOTICE 09-12. THE ENTIRE INDUSTRY AGREED TO REPURCHASE ALL ARS SECURITIES SOLD, AT PAR VALUE, FROM ALL CLIENTS, PURSUANT TO THE GLOBAL REPURCHASE AGREEMENT ENTERED INTO WITH SEVERAL REGULATORY BODIES. THE REPRESENTATIVE DID NOT MAKE ANY PAYMENTS TO THE CLIENT AND WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE SETTLEMENT AMOUNT. THE REPRESENTATIVE WAS NOT A PARTY TO, AND DID NOT AGREE TO OR PARTICIPATE IN THE REPURCHASE AGREEMENT BETWEEN THE FIRM(S) AND THE RELEVANT REGULATORY BODIES.

Disclosure 2 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	OPPENHEIMER & CO. INC.
Allegations:	UNSUITABILITY; MATERIAL OMISSIONS, NEGLIGENT MISREPRESENTATIONS AND FRAUD REGARDING AUCTION RATE SECURITIES TRANSACTIONS SUMMER, 2007 - FEBRUARY, 2008
Product Type:	Other: AUCTION RATE SECURITIES
Alleged Damages:	\$11,000,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	(CUSTOMER) & (CUSTOMER) V. OPPENHEIMER, BRETT GOLDSTEIN AND (THIRD PARTY), FINRA
Docket/Case #:	08-1248
Filing date of arbitration/CFTC reparation or civil litigation:	04/28/2008

Customer Complaint Information

Date Complaint Received:	04/28/2008
Complaint Pending?	No
Status:	Settled
Status Date:	04/20/2009
Settlement Amount:	\$40,000.00
Individual Contribution Amount:	\$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	08-1248



Date Notice/Process Served:	04/28/2008
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	04/20/2009
Monetary Compensation Amount:	\$40,000.00
Individual Contribution Amount:	\$0.00
Firm Statement	MR. GOLDSTEIN DENIES ANY MISREPRESENTATION, OMISSION, FRAUD OR UNSUITABLE RECOMMENDATIONS TO CLAIMANTS. (BROKER WAS NAMED IN ARBITRATION).

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	OPPENHEIMER & CO. INC.
Allegations:	UNSUITABILITY; MATERIAL OMISSIONS, NEGLIGENT MISREPRESENTATIONS AND FRAUD REGARDING AUCTION RATE SECURITIES TRANSACTIONS SUMMER, 2007 - FEBRUARY, 2008

Product Type:	Other: AUCTION RATE SECURITIES
Alleged Damages:	\$11,000,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	08-1248
Date Notice/Process Served:	04/28/2008
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	04/20/2009
Monetary Compensation Amount:	\$40,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	MR. GOLDSTEIN DENIES ANY MISREPRESENTATION, OMISSION, FRAUD OR UNSUITABLE RECOMMENDATIONS TO CLAIMANTS.

Disclosure 3 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CIBC WORLD MARKETS
Allegations:	THE CUSTOMER CLAIMS THAT THE INVESTMENTS RECOMMENDED BY MR. GOLDSTEIN WERE UNSUITABLE, AND THAT HIS ACCOUNT DECLINED



\$49,000. THE CUSTOMER LATER RETRACTED THE COMPLAINT.

Product Type: Debt - Corporate

Alleged Damages: \$49,000.00

Customer Complaint Information

Date Complaint Received: 01/01/2002

Complaint Pending? No

Status: Withdrawn

Status Date: 01/15/2002

Settlement Amount:

Individual Contribution

Amount:

Broker Statement THE CUSTOMER SENT FOLLOW-UP LETTER RETRACTING HIS COMPLAINT.



End of Report

This page is intentionally left blank.