User Guidance

www.adviserinfo.sec.gov

IAPD Report

WILLIAM VINCENT REEPMEYER

CRD# 372712

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

WILLIAM VINCENT REEPMEYER (CRD# 372712)

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 **12/12/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OPPENHEIMER & CO. INC.	CRD# 249	01/29/2010
IA	OPPENHEIMER & CO. INC.	CRD# 249	02/08/2010

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **28** 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	UBS FINANCIAL SERVICES INC.	8174	TROY, MI	09/19/2005 - 02/05/2010
B	UBS FINANCIAL SERVICES INC.	8174	TROY, MI	06/12/1989 - 02/05/2010
B	DREXEL BURNHAM LAMBERT INCORPORATED	7323	TROY, MI	01/10/1989 - 06/12/1989

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 **28** 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	01/29/2010
B	Cboe Exchange, Inc.	Registered Options Principal	Approved	01/29/2010
B	Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	04/11/2019
B	Cboe Exchange, Inc.	General Securities Principal	Approved	07/26/2021
B	FINRA	General Securities Principal	Approved	01/30/2010
B	FINRA	General Securities Representative	Approved	01/30/2010
B	FINRA	Municipal Securities Principal	Approved	01/30/2010
B	FINRA	Registered Options Principal	Approved	01/30/2010
B	FINRA	Municipal Securities Representative	Approved	03/10/2010
B	FINRA	General Securities Sales Supervisor	Approved	04/11/2019
B	NYSE American LLC	General Securities Principal	Approved	01/29/2010
B	NYSE American LLC	General Securities Representative	Approved	01/29/2010
B	NYSE American LLC	Municipal Securities Principal	Approved	01/29/2010

Qualifications

	Regulator	Registration	Status	Date
B	NYSE American LLC	Registered Options Principal	Approved	01/29/2010
B	NYSE American LLC	Municipal Securities Representative	Approved	03/10/2010
B	NYSE American LLC	General Securities Sales Supervisor	Approved	04/11/2019
B	NYSE Arca, Inc.	General Securities Principal	Approved	01/29/2010
B	NYSE Arca, Inc.	General Securities Representative	Approved	01/29/2010
B	NYSE Arca, Inc.	Registered Options Principal	Approved	01/29/2010
B	NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	04/11/2019
B	NYSE Texas, Inc.	General Securities Principal	Approved	01/29/2010
B	NYSE Texas, Inc.	General Securities Representative	Approved	01/29/2010
B	NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	04/11/2019
B	Nasdaq ISE, LLC	General Securities Representative	Approved	01/29/2010
B	Nasdaq ISE, LLC	Registered Options Principal	Approved	01/29/2010
B	Nasdaq ISE, LLC	General Securities Principal	Approved	08/17/2015
B	Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	04/11/2019
B	Nasdaq PHLX LLC	General Securities Representative	Approved	01/29/2010
B	Nasdaq PHLX LLC	Registered Options Principal	Approved	01/29/2010
B	Nasdaq PHLX LLC	General Securities Principal	Approved	08/17/2015
B	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	04/11/2019
B	Nasdaq Stock Market	General Securities Principal	Approved	01/29/2010

Qualifications

	Regulator	Registration	Status	Date
B	Nasdaq Stock Market	General Securities Representative	Approved	01/29/2010
B	Nasdaq Stock Market	Registered Options Principal	Approved	01/29/2010
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	04/11/2019
B	New York Stock Exchange	General Securities Representative	Approved	01/29/2010
B	New York Stock Exchange	General Securities Principal	Approved	06/26/2010
B	New York Stock Exchange	Municipal Securities Principal	Approved	06/26/2010
B	New York Stock Exchange	Municipal Securities Representative	Approved	06/26/2010
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	04/11/2019
B	Arizona	Agent	Approved	03/22/2010
B	Arkansas	Agent	Approved	08/25/2023
B	California	Agent	Approved	02/03/2010
B	Colorado	Agent	Approved	02/03/2010
B	Connecticut	Agent	Approved	09/05/2023
B	Delaware	Agent	Approved	08/30/2021
B	Florida	Agent	Approved	04/16/2010
B	Illinois	Agent	Approved	02/02/2010
B	Indiana	Agent	Approved	02/02/2010
B	Louisiana	Agent	Approved	07/25/2022
B	Maine	Agent	Approved	02/02/2010

Qualifications

	Regulator	Registration	Status	Date
B	Maryland	Agent	Approved	02/04/2010
B	Massachusetts	Agent	Approved	02/10/2010
B	Michigan	Agent	Approved	02/01/2010
IA	Michigan	Investment Adviser Representative	Approved	03/16/2010
B	Minnesota	Agent	Approved	02/12/2010
B	Missouri	Agent	Approved	02/03/2010
B	New Hampshire	Agent	Approved	02/12/2010
IA	New Hampshire	Investment Adviser Representative	Approved	12/15/2015
B	New Jersey	Agent	Approved	03/11/2010
B	New York	Agent	Approved	03/24/2010
B	North Carolina	Agent	Approved	02/10/2010
B	Ohio	Agent	Approved	02/03/2010
B	Rhode Island	Agent	Approved	02/04/2010
B	South Carolina	Agent	Approved	03/17/2022
B	Texas	Agent	Approved	03/13/2010
IA	Texas	Investment Adviser Representative	Restricted Approval	02/08/2010
B	Virginia	Agent	Approved	02/02/2010
B	Washington	Agent	Approved	02/02/2010

Qualifications

	Regulator	Registration	Status	Date
B	West Virginia	Agent	Approved	01/02/2025
B	Wyoming	Agent	Approved	07/26/2018

Branch Office Locations

OPPENHEIMER & CO. INC.
MEREDITH, NH

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, 7 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Principal Examination (S24)	Series 24	01/02/2023
B	Registered Options Principal Examination (S4)	Series 4	01/02/2023
B	Municipal Securities Principal Examination (S53)	Series 53	01/02/2023
B	Registered Principal Examination (S40)	Series 40	05/01/1972

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
B	General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	10/22/2013
B	Foreign Currency Options Examination (S15)	Series 15	12/10/1985
B	Interest Rate Options Examination (S5)	Series 5	12/12/1981
B	Registered Representative Examination (S1)	Series 1	02/16/1966

Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	08/12/1992
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/20/1985

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
IA	09/19/2005 - 02/05/2010	UBS FINANCIAL SERVICES INC.	CRD# 8174	TROY, MI
B	06/12/1989 - 02/05/2010	UBS FINANCIAL SERVICES INC.	CRD# 8174	TROY, MI
B	01/10/1989 - 06/12/1989	DREXEL BURNHAM LAMBERT INCORPORATED	CRD# 7323	
B	12/02/1988 - 01/01/1989	ILLINOIS COMPANY INVESTMENTS, INC.	CRD# 821	
B	02/01/1979 - 12/17/1988	OBERWEIS SECURITIES, INC.	CRD# 7739	
B	11/15/1971 - 08/13/1979	OLDE & CO., INCORPORATED	CRD# 5979	
B	02/18/1969 - 12/29/1971	KIDDER, PEABODY & CO., INCORPORATED	CRD# 488	

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
01/2010 - Present	OPPENHEIMER & CO	FA	Y	BIRMINGHAM, MI, 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.

NAME: BILL REEPMEYER
ADDEWAA: 4115 OLD WOODWARD AVE. #915 BIRMINGHAM, MI 48009
NOT INVESTMENT RELATED, HARNESS HORSE RACING, OWNER. STARTED 20 YEARS AGO, 10 HOURS PER WEEK, NONE DURING TRADING HOURS. DUTIES ARE BUYING AND SELLING HORSES, SELECTING RACES, DRIVERS AND TRAINERS.

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:	Individual
Employing firm when activities occurred which led to the complaint:	PAINEWEBBER
Allegations:	CLIENT ALLEGES EXCESSIVE AND UNSUITABLE TRADING REGARDING OPTIONS FROM 1992 TO 1994. CLIENT'S STATEMENT OF CLAIM ALSO PLEADS BREACH OF FIDUCIARY DUTY, COMMON LAW FRAUD, BREACH OF CONTRACT, CONVERSION AND UNJUST ENRICHMENT, BROKER MISCONDUCT AND VIOLATION OF RICO. CLIENT ALLEGES $673,085 IN ACTUAL DAMAGES. CLIENT ALSO SEEKS PUNITIVE AND SPECIAL DAMAGES IN EXCESS OF $1 MILLION.
Product Type:	Options
Alleged Damages:	$673,085.00

Customer Complaint Information

Date Complaint Received:	08/31/1998
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	08/13/1998
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NATIONAL ASSOC. OF SECURITIES DEALERS; 98-02128
Date Notice/Process Served:	08/13/1998
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/24/2000
Monetary Compensation Amount:	$107,500.00
Individual Contribution Amount:	$0.00
Broker Statement	WILLIAM REEPMEYER DENIES ALL CLAIMANT'S ALLEGATIONS. CLIENT HAD A RELATIONSHIP WITH BROKER IN EXCESS OF 15 YEARS DURING WHICH TIME CLIENT KNOWINGLY ENGAGED IN SPECULATIVE OPTIONS TRADING. CLIENT UNDERSTOOD AND APPROVED OF THE OPTION TRADING STRATEGY AND ALL TRANSACTIONS THAT ARE THE SUBJECT OF THIS CLAIM. IN FACT, CLIENT INSISTED ON PURSUING THIS STRATEGY EVEN AFTER BEING PROVIDED WITH AND BEING ENCOURAGED TO PURSUE ALTERNATIVE AND LESS RISKY INVESTMENT STRATEGIES. CLIENT COULD HAVE CEASED TRADING AT ANY TIME. BROKER MADE NO MISREPRESENTATIONS AND KEPT CLIENT FULLY INFORMED AT ALL TIMES.

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	
Allegations:	CLIENT ALLEGES THAT HE TOLD IE THAT HE NO LONGER WISHED TO DO OPTIONS IN HIS ACCOUNT. CLIENT HAD BEEN DOING SPEC TRADING AND HEDGING. CLIENT SAYS HE MEANT TO STOP ALL OPTIONS TRADING. IE SAID CLIENT MEANT TO STOP SPEC TRADING BUT TO CONTINUE HEDGING. CLIENT HAD $197K GAINS IN MUTUAL FUNDS DURING 2/97 TO 5/97 BUT GAINS WERE OFFSET BY 143K LOSSES IN HEDGING OPTIONS POSITIONS.
Product Type:	
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	05/13/1997
Complaint Pending?	No
Status:	Settled
Status Date:	
Settlement Amount:	$67,500.00
Individual Contribution Amount:	
Broker Statement	PAINEWEBBER SETTLED THIS MATTER FOR $67,500. I DENY THE ALLEGATIONS. HEDGING TRANSACTIONS WERE DISCUSSED WITH THE CLIENT AND AGREED TO SEVERAL TIMES.

THE SETTLEMENT DECISION AND NEGOTIATIONS WERE CONDUCTED SOLELY
BY PAINEWEBBER.

Disclosure 3 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	OBERWEIS SECURITIES
Allegations:	VIOLATIONS OF CERTAIN FEDERAL SECURITIES LAWS AND OTHER SECURITIES RULES AND REGULATIONS, FEDERAL LAWS AND STATE LAWS. DAMAGES CLAIMED WERE $357,962.34 TREBLED PLUS INTEREST; $10,000 LOSS OPPORTUNITY TREBLED, $5,000,000 PUNITIVE PLUS ATTORNEYS FEES AND COST.
Product Type:	
Alleged Damages:	$367,962.34

Customer Complaint Information

Date Complaint Received:	02/01/1985
Complaint Pending?	No
Status:	Settled
Status Date:	
Settlement Amount:	$50,000.00
Individual Contribution Amount:	
Broker Statement	SETTLED BY OBERWEIS, LEICH AND REEPMEYER FOR $50,000 TO AVOID THE SUBSTANTIAL EXPENSE AND BURDEN OF POSSIBLE LENGTHY LITIGATION. INCLUDED IN THE SETTLEMENT AGREEMENT IS A CLAUSE WHICH STATES THAT THE RESPONDENTS "MAINTAIN THAT THERE IS NO SUBSTANCE WHATSOEVER TO THE CHARGES OR CLAIMS MADE AGAINST THEM, THAT THEY HAVE VALID DEFENSES TO ALL SUCH CHARGES AND THEY DENIED AND CONTINUE TO DENY ALL ALLEGATIONS ASSERTED AGAINST THEM AND HAVE DISCLAIMED ANY LIABILITY WITH RESPECT THERETO."

End of Report

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