



IAPD Report

ANTHONY D'ASCOLI

CRD# 4133420

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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

ANTHONY D'ASCOLI (CRD# 4133420)

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 **04/24/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OPPENHEIMER & CO. INC.	CRD# 249	09/05/2013
IA	OPPENHEIMER & CO. INC.	CRD# 249	09/11/2013

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **19** 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	STAMFORD, CT	06/11/2009 - 07/29/2013
IA	UBS FINANCIAL SERVICES INC.	8174	STAMFORD, CT	06/11/2009 - 07/29/2013
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY	03/22/2001 - 06/15/2009

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	4



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 **19** 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	09/05/2013
B FINRA	General Securities Representative	Approved	09/05/2013
B NYSE American LLC	General Securities Representative	Approved	09/05/2013
B NYSE Arca, Inc.	General Securities Representative	Approved	09/05/2013
B NYSE Texas, Inc.	General Securities Representative	Approved	09/05/2013
B Nasdaq ISE, LLC	General Securities Representative	Approved	09/05/2013
B Nasdaq PHLX LLC	General Securities Representative	Approved	09/05/2013
B Nasdaq Stock Market	General Securities Representative	Approved	09/05/2013
B New York Stock Exchange	General Securities Representative	Approved	09/05/2013
B Arizona	Agent	Approved	05/20/2022
B California	Agent	Approved	09/09/2013
B Colorado	Agent	Approved	11/18/2021
B Connecticut	Agent	Approved	09/06/2013



Qualifications

Regulator	Registration	Status	Date
IA Connecticut	Investment Adviser Representative	Approved	09/11/2013
B Delaware	Agent	Approved	02/14/2019
B District of Columbia	Agent	Approved	10/15/2020
B Florida	Agent	Approved	09/11/2013
IA Florida	Investment Adviser Representative	Approved	10/05/2022
B Illinois	Agent	Approved	09/06/2013
B Maryland	Agent	Approved	09/09/2013
B New Hampshire	Agent	Approved	11/13/2025
B New Jersey	Agent	Approved	09/06/2013
B New York	Agent	Approved	09/06/2013
B Oregon	Agent	Approved	09/06/2013
B Pennsylvania	Agent	Approved	09/09/2013
B Texas	Agent	Approved	11/04/2025
B Utah	Agent	Approved	09/09/2013
B Virginia	Agent	Approved	01/29/2020
B Washington	Agent	Approved	02/12/2020
B Wyoming	Agent	Approved	09/11/2013

Branch Office Locations

OPPENHEIMER & CO. INC.
110 EAST ATLANTIC AVENUE



Qualifications

DELRAY BEACH, FL 33432

OPPENHEIMER & CO. INC.
DELRAY BEACH, FL



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 1 state securities law exam.

Principal/Supervisory Exams


Exam	Category	Date
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No information reported.

General Industry/Product Exams



Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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 General Securities Representative Examination (S7)	Series 7	04/21/2000
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State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	06/01/2000
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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	06/11/2009 - 07/29/2013	UBS FINANCIAL SERVICES INC.	CRD# 8174	STAMFORD, CT
IA	06/11/2009 - 07/29/2013	UBS FINANCIAL SERVICES INC.	CRD# 8174	STAMFORD, CT
IA	03/22/2001 - 06/15/2009	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	04/24/2000 - 06/15/2009	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	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
09/2013 - Present	OPPENHEIMER & CO. INC.	FINANCIAL CONSULTANT	Y	DELRAY BEACH, FL, 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.

PARTNER IN GREENWICH ESTATES LLC
 NAME: A.R.D. ENTERPRISES
 INVESTMENT RELATED: NO
 ADDRESS: *** SEE BELOW ***
 NATURE: REAL ESTATE HOLDING COMPANY
 YOUR POSITION, TITLE, ASSOCIATION: PRESIDENT
 START DATE: 01/01/1991
 NUMBER OF HOURS DEVOTED PER MONTH: 1
 NUMBER OF HOURS DEVOTED DURING SECURITIES TRADING HOURS: 0
 DUTIES: GENERAL OPERATION
 A.R.D. ENTERPRISES - REL ESTATE HOLDING COMPANY. RUN ALL ASPECTS AS PRESIDENT TO REAL ESTATE RENTALS/PROPERTY MANAGEMENT.
 CO-EXECUTOR FOR ESTATE OF FRANCESCA D'ASCOLI(MOTHER DECEASED 2015)57 SANDS STREET,PORT CHESTER,NY 10573 1 HOUR PER 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
Customer Dispute	4

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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	OPPENHEIMER & CO. INC.
Allegations:	Claimant alleges he suffered losses due to his investment in two fixed income funds, and alleges claims for negligence, breach of contract, breach of fiduciary duty and violations of federal and FINRA regulations. 2013 - 2024
Product Type:	Mutual Fund Other: PRIVATE FUND
Alleged Damages:	\$850,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	26-00084
Filing date of arbitration/CFTC reparation or civil litigation:	01/13/2026

Customer Complaint Information

Date Complaint Received: 01/22/2026



Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Broker Statement

I have serviced claimant's accounts for over 25 years, during which time I successfully helped claimant achieve substantial overall investment gains. Over a 10-year period, the client made five separate investments into two fixed income funds. While these specific funds recorded losses, those results were the product of adverse market conditions. I have always conducted myself with the highest degree of professionalism and integrity. I categorically deny all allegations of wrongdoing and intend to vigorously defend my reputation against these unwarranted claims.

Disclosure 2 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.

Allegations: Claimants allege they suffered losses as a result of unsuitable investments and allege claims for breach of fiduciary duty, negligence, negligent misrepresentation and breach of contract. From 7/1/2021-9/20/2022.

Product Type: Equity Listed (Common & Preferred Stock)
Other: ETF & Omega

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): UNSPECIFIED

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 23-00366

Filing date of arbitration/CFTC reparation or civil litigation: 02/14/2023

Customer Complaint Information

Date Complaint Received: 02/14/2023

Complaint Pending? No

Status: Settled

Status Date: 02/21/2024

Settlement Amount: \$70,000.00

Individual Contribution Amount: \$0.00

**Broker Statement**

I at all times conducted myself in an appropriate and professional manner. I deny all allegations of wrongdoing, and intend to vigorously defend myself against the false, unwarranted and unsubstantiated allegations.
THE PARTIES CHOSE TO SETTLE THE MATTER. OPPENHEIMER & CO., INC. CHOSE TO SETTLE THIS CASE IN ORDER TO AVOID THE COSTS ASSOCIATED WITH FINRA ARBITRATION. OPPENHEIMER & CO., INC. CHOSE TO SETTLE THIS CASE. MR. D'ASCOLI WAS NOT ASKED TO CONTRIBUTE TO THE SETTLEMENT.

Disclosure 3 of 4**Reporting Source:**

Individual

Employing firm when activities occurred which led to the complaint:

OPPENHEIMER & CO. INC.

Allegations:

CLIENT ALLEGES THAT INVESTMENTS WERE RISKY AND IRRESPONSIBLE, CLIENT IDENTIFIED ONE SPECIFIC INVESTMENT THAT TOOK PLACE ON 11/18/21.

Product Type:

Options

Alleged Damages:

\$198,480.00

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:**

01/31/2023

Complaint Pending?

No

Status:

Denied

Status Date:

03/27/2023

Settlement Amount:**Individual Contribution Amount:****Broker Statement**

Claims made by the client are without merit. The client is an experienced investor, including as a day trader. The client traded advanced strategies including stocks, derivatives, and index futures contracts. Derivatives and futures trading included Long market, Short market, Calls, Puts, Straddles, Strangles, Butterflies, After-Hours Trading, etc. The client also employed advanced day trading strategies including market momentum, moving average crossovers, equity research, etc. The client also invested net gains in a Long LEAPs Option strategy that he considered significantly more conservative than Day Trading Index Futures. Finally, the client has not lost any capital rather reinvested capital gains.

Disclosure 4 of 4**Reporting Source:**

Individual

Employing firm when activities occurred which led to the complaint:

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED



Allegations: THE CUSTOMER ALLEGES UNAUTHORIZED TRADING.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$34,773.15

Customer Complaint Information

Date Complaint Received: 03/12/2009

Complaint Pending? No

Status: Settled

Status Date: 03/16/2009

Settlement Amount: \$34,773.15

Individual Contribution Amount: \$0.00

Broker Statement

MR. D'ASCOLI INITIATED DISCRETIONARY TAX-LOSS SELLING IN A THIRD PARTY DISCRETIONARY ACCOUNT WITHOUT CONFIRMATION FROM THE CLIENT ON SPECIFIC TIMING. MR. D'ASCOLI INITIATED TAX-LOSS SELLING AFTER A FIRM SPONSORED ADVISOR ONLY SERVICE NETWORK FOR SAID DISCRETIONARY ACCOUNT/PLATFORM INDICATED CLIENT PERMISSION WAS NOT REQUIRED. MR. D'ASCOLI COMMUNICATED TAX-LOSS SELLING PROCESS TO CLIENT IN PRIOR DISCUSSIONS. MERRILL LYNCH CORRECTED THE TRADES IN THE CLIENT'S ACCOUNT.



End of Report

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