



IAPD Report

MAURICE GORDON STUFFMANN JR

CRD# 439058

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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

MAURICE GORDON STUFFMANN JR (CRD# 439058)

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 **01/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OPPENHEIMER & CO. INC.	CRD# 249	01/03/2003
IA	OPPENHEIMER & CO. INC.	CRD# 249	02/01/2011
IA	OPPENHEIMER ASSET MANAGEMENT	CRD# 105559	01/05/2026

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **52** 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	OPPENHEIMER ASSET MANAGEMENT	105559	FORT WORTH, TX	04/15/2003 - 12/31/2025
IA	FAHNESTOCK ASSET MANAGEMENT	249	FORT WORTH, TX	01/03/2003 - 04/15/2003
IA	CIBC WORLD MARKETS CORP.	630	NEWPORT BEACH, CA	02/14/2002 - 01/03/2003

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 **52** jurisdiction(s) and 9 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **OPPENHEIMER ASSET MANAGEMENT**
Main Address: 85 BROAD STREET
NEW YORK, NY 10004
Firm ID#: 105559


	Regulator	Registration	Status	Date
	California	Investment Adviser Representative	Approved	01/05/2026
	Texas	Investment Adviser Representative	Approved	01/06/2026

Branch Office Locations

OPPENHEIMER ASSET MANAGEMENT
505 MAIN STREET
FORT WORTH, TX 76102

Employment 2 of 2

Firm Name: **OPPENHEIMER & CO. INC.**
Main Address: 85 BROAD STREET
22ND FLOOR
NEW YORK, NY 10004
Firm ID#: 249

	Regulator	Registration	Status	Date
	Cboe Exchange, Inc.	General Securities Representative	Approved	01/03/2003
	FINRA	General Securities Representative	Approved	01/03/2003
	NYSE American LLC	General Securities Representative	Approved	01/03/2003
	NYSE Arca, Inc.	General Securities Representative	Approved	08/22/2013
	NYSE Texas, Inc.	General Securities Representative	Approved	08/22/2013



Qualifications

	Regulator	Registration	Status	Date
B	Nasdaq ISE, LLC	General Securities Representative	Approved	08/22/2013
B	Nasdaq PHLX LLC	General Securities Representative	Approved	08/22/2013
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	01/03/2003
B	Alabama	Agent	Approved	08/12/2015
B	Alaska	Agent	Approved	07/17/2015
B	Arizona	Agent	Approved	05/02/2013
IA	Arizona	Investment Adviser Representative	Approved	02/09/2016
B	Arkansas	Agent	Approved	07/20/2015
B	California	Agent	Approved	01/03/2003
B	Colorado	Agent	Approved	01/03/2003
B	Connecticut	Agent	Approved	01/03/2003
B	Delaware	Agent	Approved	04/19/2013
B	District of Columbia	Agent	Approved	12/12/2012
B	Florida	Agent	Approved	01/03/2003
B	Georgia	Agent	Approved	11/29/2012
B	Hawaii	Agent	Approved	01/03/2003
B	Idaho	Agent	Approved	07/20/2015
B	Illinois	Agent	Approved	01/03/2003



Qualifications

	Regulator	Registration	Status	Date
B	Indiana	Agent	Approved	08/13/2012
B	Iowa	Agent	Approved	07/21/2015
B	Kansas	Agent	Approved	10/09/2012
B	Kentucky	Agent	Approved	06/03/2008
B	Louisiana	Agent	Approved	07/20/2015
B	Maine	Agent	Approved	07/20/2015
B	Maryland	Agent	Approved	02/01/2013
B	Massachusetts	Agent	Approved	02/08/2011
B	Michigan	Agent	Approved	01/03/2003
B	Minnesota	Agent	Approved	01/03/2003
B	Mississippi	Agent	Approved	07/23/2015
B	Missouri	Agent	Approved	07/29/2011
B	Montana	Agent	Approved	04/17/2013
B	Nebraska	Agent	Approved	09/14/2012
B	Nevada	Agent	Approved	01/03/2003
B	New Hampshire	Agent	Approved	09/30/2015
B	New Jersey	Agent	Approved	01/03/2003
B	New Mexico	Agent	Approved	07/14/2011
B	New York	Agent	Approved	01/03/2003



Qualifications

	Regulator	Registration	Status	Date
B	North Carolina	Agent	Approved	06/28/2011
B	North Dakota	Agent	Approved	07/21/2015
B	Ohio	Agent	Approved	10/20/2011
B	Oklahoma	Agent	Approved	06/11/2012
B	Oregon	Agent	Approved	07/17/2015
B	Pennsylvania	Agent	Approved	01/03/2003
B	Puerto Rico	Agent	Approved	01/03/2003
B	Rhode Island	Agent	Approved	06/11/2015
B	South Carolina	Agent	Approved	05/15/2014
B	South Dakota	Agent	Approved	07/20/2015
B	Tennessee	Agent	Approved	02/04/2008
B	Texas	Agent	Approved	01/03/2003
IA	Texas	Investment Adviser Representative	Approved	02/01/2011
B	Utah	Agent	Approved	07/07/2015
B	Vermont	Agent	Approved	07/20/2015
B	Virginia	Agent	Approved	01/03/2003
B	Washington	Agent	Approved	01/03/2003
B	West Virginia	Agent	Approved	07/28/2015
B	Wisconsin	Agent	Approved	07/20/2015



Qualifications

Regulator	Registration	Status	Date
B Wyoming	Agent	Approved	04/16/2013



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

Principal/Supervisory Exams

	Exam	Category	Date
B	Registered Options Principal Examination (S4)	Series 4	11/23/1998
B	Registered Principal Examination (S40)	Series 40	05/16/1977
B	NYSE Branch Manager Examination (S12)	Series 12	04/21/1975

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	12/03/2003
B	Interest Rate Options Examination (S5)	Series 5	10/12/1981
B	Registered Representative Examination (S1)	Series 1	07/29/1968

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	02/08/2011
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/06/1981



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	04/15/2003 - 12/31/2025	OPPENHEIMER ASSET MANAGEMENT	CRD# 105559	FORT WORTH, TX
IA	01/03/2003 - 04/15/2003	FAHNESTOCK ASSET MANAGEMENT	CRD# 249	FORT WORTH, TX
IA	02/14/2002 - 01/03/2003	CIBC WORLD MARKETS CORP.	CRD# 630	NEWPORT BEACH, CA
B	11/09/2001 - 01/03/2003	CIBC WORLD MARKETS CORP.	CRD# 630	NEW YORK, NY
B	02/01/2000 - 11/23/2001	J.P. MORGAN SECURITIES INC.	CRD# 18718	NEW YORK, NY
B	12/01/1997 - 02/01/2000	HAMBRECHT & QUIST LLC	CRD# 940	SAN FRANCISCO, CA
B	09/19/1995 - 12/04/1997	DABNEY/RESNICK/IMPERIAL, LLC	CRD# 24367	BEVERLY HILLS, CA
B	01/17/1994 - 09/13/1995	MITCHUM, JONES & TEMPLETON, INC.	CRD# 22208	SAN FRANCISCO, CA
B	11/21/1989 - 12/02/1993	SUTRO & CO. INCORPORATED	CRD# 801	SAN FRANCISCO, CA
B	03/02/1984 - 11/18/1989	MORGAN, OLMSTEAD, KENNEDY & GARDNER INCORPORATED	CRD# 595	
B	11/07/1988 - 11/16/1989	WEDBUSH MORGAN SECURITIES INC.	CRD# 877	PASADENA, CA
B	03/06/1970 - 03/13/1984	SUTRO & CO. INCORPORATED	CRD# 801	

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
04/2003 - Present	OPPENHEIMER ASSET MANAGEMENT INC.	Mass Transfer	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. OWN MINERAL RIGHTS UNDER PERSONAL RESIDENCE. 810 HOUSTON ST., FORT WORTH, TX
2. STUFFMANN FAMILY TRUST; CO-TRUSTEE; ADDRESS IS PERSONAL RESIDENCE; TRUST HOLDS INVESTMENT ASSETS, RESIDENCES, ETC. AS PART OF ESTATE PLANNING



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:	OPPENHEIMER & CO. INC.
Allegations:	CLIENT ALLEGES INVESTMENTS WERE NOT FULLY EXPLAINED AND WERE UNSUITABLE BETWEEN NOVEMBER 2012 AND MARCH 2020
Product Type:	Index Option
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO DAMAGES SPECIFIED, BUT BELIEVED TO BE OVER \$5,000
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:	04/20/2020
Complaint Pending?	No
Status:	Settled
Status Date:	10/06/2020
Settlement Amount:	\$38,225.00



Individual Contribution Amount: \$0.00

Broker Statement THE \$38,225 SETTLEMENT AMOUNT IS A REVERSAL OF FEES.

Disclosure 2 of 3

Reporting Source: Individual

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

Allegations: CLAIMANT ALLEGES THAT OPPENHEIMER, INTER ALIA, MISREPRESENTED ARS AS CAS EQUIVILENTS

Product Type: Other: AUCTION RATE SECURITIES

Alleged Damages: \$200,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 11-00882

Date Notice/Process Served: 03/21/2011

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/11/2012

Monetary Compensation Amount: \$15,000.00

Individual Contribution Amount: \$0.00

Broker Statement THE REGISTRANT IS NAMED AS A RESPONDENT AND DENIES THE ALLEGATIONS IN THE STATEMENT OF CLAIM. CLAIMANT IS TEMPORARILY WITHOUT LIQUIDITY, BUT HAS NOT SUFFERED REALIZED DAMAGES FROM THE FROZEN ARS MARKET. SETTLEMENT INCLUDES OPPENHEIMER AGREEING TO BUY CUSTOMER'S REMAINING ARS, IN ADDITION TO MONETARY PAYMENT. REGISTRANT WAS NOT ASKED TO CONTRIBUTE.

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: J.P. MORGAN SECURITIES INC.

Allegations: CUSTOMER ALLEGES THAT MAURICE STUFFMANN, ALONG WITH TWO OTHER RRS, MISREPRESENTED A TRADING STRATEGY WHICH RESULTED IN LOSSES TO THE CUSTOMER IN SEPTEMBER 2001. THE FIRM BELIEVES THAT THE CLAIM IS WITHOUT MERIT.

Product Type: Index Option(s)

Alleged Damages: \$180,079.00

**Customer Complaint Information**

Date Complaint Received: 09/26/2001
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 10/29/2002
Settlement Amount: \$75,000.00
Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD ARBITRATION # 02-05889](#)

Date Notice/Process Served: 10/29/2002
Arbitration Pending? No
Disposition: Settled
Disposition Date: 06/14/2004
Monetary Compensation Amount: \$75,000.00
Individual Contribution Amount: \$0.00

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: J.P. MORGAN SECURITIES INC.

Allegations: CUSTOMER ALLEGES THAT MAURICE STUFFMANN, ALONG WITH TWO OTHER RR'S MISREPRESENTED A TRADING STRATEGY WHICH RESULTED IN LOSSES TO THE CUSTOMER IN SEPTEMBER 2001. THE FIRM BELIEVES THAT THE CLAIM IS WITHOUT MERIT.

Product Type: Index Option(s)
Alleged Damages: \$180,079.00

Customer Complaint Information

Date Complaint Received: 09/26/2001
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 10/29/2002
Settlement Amount:
Individual Contribution Amount:

Arbitration Information



**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** [NASD ARBITRATION #02-05889](#)

Date Notice/Process Served: 10/29/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/14/2004

**Monetary Compensation
Amount:** \$75,000.00

**Individual Contribution
Amount:** \$0.00

Broker Statement J.P. MORGAN SETTLED FOR BUSINESS REASONS AND CLAIMANT AGREED
TO COOPERATE IN EXPUNGING ME FROM COMPLAINT. NO PARTICIPATION
IN SETTLEMENT.



End of Report

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