



## IAPD Report

# LAWRENCE R WILKES

CRD# 467113

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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

### LAWRENCE R WILKES (CRD# 467113)

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 **11/25/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	OPPENHEIMER & CO. INC.	CRD# 249	11/05/2012
<b>IA</b>	OPPENHEIMER & CO. INC.	CRD# 249	11/05/2012

### QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **13** 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>B</b>	UBS FINANCIAL SERVICES INC.	8174	STAMFORD, CT	02/28/2003 - 11/12/2012
<b>IA</b>	UBS FINANCIAL SERVICES INC.	8174	STAMFORD, CT	02/28/2003 - 11/12/2012
<b>IA</b>	SALOMON SMITH BARNEY INC.	7059	STAMFORD, CT	04/05/1999 - 03/04/2003

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
Regulatory Event	1
Customer Dispute	1



## 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 **13** 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>B</b> Cboe Exchange, Inc.	General Securities Representative	Approved	11/05/2012
<b>B</b> FINRA	General Securities Representative	Approved	11/05/2012
<b>B</b> NYSE American LLC	General Securities Representative	Approved	11/05/2012
<b>B</b> NYSE Arca, Inc.	General Securities Representative	Approved	11/05/2012
<b>B</b> NYSE Texas, Inc.	General Securities Representative	Approved	11/05/2012
<b>B</b> Nasdaq ISE, LLC	General Securities Representative	Approved	11/05/2012
<b>B</b> Nasdaq PHLX LLC	General Securities Representative	Approved	11/05/2012
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	11/05/2012
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	11/05/2012
<b>B</b> California	Agent	Approved	11/05/2012
<b>B</b> Connecticut	Agent	Approved	11/05/2012
<b>IA</b> Connecticut	Investment Adviser Representative	Approved	11/05/2012
<b>B</b> Florida	Agent	Approved	11/16/2012



### Qualifications

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	08/04/2017
B Illinois	Agent	Approved	11/05/2012
B Maine	Agent	Approved	11/04/2013
B Massachusetts	Agent	Approved	02/01/2013
B New Jersey	Agent	Approved	11/05/2012
B New York	Agent	Approved	11/05/2012
B North Carolina	Agent	Approved	03/06/2024
B Pennsylvania	Agent	Approved	11/05/2012
B South Carolina	Agent	Approved	11/05/2012
B Vermont	Agent	Approved	11/05/2012
B Washington	Agent	Approved	03/05/2024

#### Branch Office Locations

**OPPENHEIMER & CO. INC.**  
263 TRESSER BLVD  
SUITE 500  
STAMFORD, CT 06901

**OPPENHEIMER & CO. INC.**  
NORTH PALM BEACH, FL

**OPPENHEIMER & CO. INC.**  
NEW CANAAN, CT



## 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, 4 general industry/product exams, and 2 state securities law exams.**





#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.



#### General Industry/Product Exams

Exam	Category	Date
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 General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 AMEX Put and Call Exam (PC)	PC	08/31/1977
 Registered Representative Examination (S1)	Series 1	05/13/1969

#### State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	11/09/2016
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/15/1979

### 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	02/28/2003 - 11/12/2012	UBS FINANCIAL SERVICES INC.	CRD# 8174	STAMFORD, CT
IA	02/28/2003 - 11/12/2012	UBS FINANCIAL SERVICES INC.	CRD# 8174	STAMFORD, CT
IA	04/05/1999 - 03/04/2003	SALOMON SMITH BARNEY INC.	CRD# 7059	STAMFORD, CT
B	07/31/1993 - 03/04/2003	SALOMON SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	02/15/1988 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	03/14/1973 - 02/15/1988	E. F. HUTTON & COMPANY INC	CRD# 235	
B	08/17/1972 - 04/06/1973	ABRAHAM & CO., INC.	CRD# 1010	
B	03/10/1972 - 10/19/1972	NEUBERGER & BERMAN	CRD# 2908	
B	05/16/1969 - 04/06/1972	BEAR, STEARNS & CO.	CRD# 79	

### 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
11/2012 - Present	OPPENHEIMER & CO. INC	REG REP	Y	STAMFORD, CT, 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.

1. I AM THE BOARD OF TRUSTEES OF TEMPLE SHALOM. THE ADDRESS IS 259 RICHARDS AVE, NORWALK, CT 06850. I ATTEND 3-4 MEETINGS A YEAR. THE MEETINGS LAST ABOUT 1 1/2 HOURS SO MY TOTAL TIME SPENT IS 6 HOURS A YEAR. I DO NOT OFFER ANY INVESTMENT ADVICE. I AM NOT ON ANY COMMITTEES.
2. I AM THE TRUSTEE FOR MY OWN REVOCABLE TRUST. IT WAS ESTABLISHED YEARS AGO FOR ESTATE PLANNING PURPOSES.
3. I AM THE TRUSTEE OF MY WIFE'S IRREVOCABLE INSURANCE TRUST SINCE 2009



## 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	1

### 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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	Florida Office of Financial Regulation
<b>Sanction(s) Sought:</b>	Other: n/a
<b>Date Initiated:</b>	08/04/2017
<b>Docket/Case Number:</b>	72114-SR
<b>URL for Regulatory Action:</b>	
<b>Employing firm when activity occurred which led to the regulatory action:</b>	Oppenheimer & Co., Inc.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	Conducted investment advisory business from offices within this state without the benefit of lawful registration.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	08/04/2017



**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$23,100.00

**Portion Levied against individual:** \$23,100.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:** 08/04/2017

**Was any portion of penalty waived?** No

**Amount Waived:**

**Regulator Statement**

On 8/4/2017, the Office of Financial Regulation entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Lawrence R. Wilkes. Mr. Wilkes neither admitted nor denied the findings but consented to the entry of findings by the Office. The Office found that Lawrence R, Wilkes engaged in investment advisory business from offices within this state without the benefit of lawful registration in the state of Florida pursuant to section 517.12(4), F. S. Mr. Wilkes agreed to pay an administrative fine in the amount of \$ 23,100. The Office agreed to approve Lawrence R. Wilkes' application as an associated person (RA) with Oppenheimer & co. Inc. effective 8/4/2017.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** FLORIDA OFFICE OF FINANCIAL REGULATION

**Sanction(s) Sought:** Other: N/A

**Date Initiated:** 08/04/2017

**Docket/Case Number:** 72114-SR

**Employing firm when activity occurred which led to the regulatory action:** OPPENHEIMER & CO. INC.

**Product Type:** No Product

**Allegations:** Conducted investment advisory business from offices within this state without the benefit of lawful registration.

**Current Status:** Final

**Resolution:** Order

**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No

**Resolution Date:** 08/04/2017



**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$23,100.00

**Portion Levied against individual:** \$23,100.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:** 08/04/2017

**Was any portion of penalty waived?** No

**Amount Waived:**

**Broker Statement**

On 8/4/2017, the Office of Financial Regulation entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Lawrence R. Wilkes. Mr. Wilkes neither admitted nor denied the findings but consented to the entry of findings by the Office. The Office found that Lawrence R. Wilkes engaged in investment advisory business from offices within this state without the benefit of lawful registration in the state of Florida pursuant to section 517.12(4), F. S. Mr. Wilkes agreed to pay an administrative fine in the amount of \$ 23,100. The Office agreed to approve Lawrence R. Wilkes' application as an associated person (RA) with Oppenheimer & co. Inc. effective 8/4/2017.

THIS ORDER WAS THE RESULT OF A FINDING THAT MR. WILKES WAS NOT PROPERLY REGISTERED IN THE STATE AS AN INVESTMENT ADVISOR REPRESENTATIVE WITH OPPENHEIMER. THIS OCCURRED DUE TO AN ADMINISTRATIVE ERROR NOT CAUSED BY MR. WILKES. THIS WAS AN ADMINISTRATIVE INADVERTENT CLERICAL ERROR BY AN ADMINISTRATIVE ASSOCIATE AT OPPENHEIMER. AS A RESULT MR. WILKES WAS UNDER THE REASONABLY MISTAKEN BELIEF THAT HE WAS PROPERLY REGISTERED. NO CUSTOMERS WERE HARMED BY THIS ERROR. THE FIRM HAS PAID THE FINE ON BEHALF OF MR. WILKES.



## 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 1

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** SMITH BARNEY, INC.

**Allegations:** CLIENT'S HUSBAND ALLEGED UNAUTHORIZED TRADING, FAILURE TO FOLLOW INSTRUCTIONS, AND THAT CERTAIN STOCKS PURCHASED IN HIS WIFE'S ACCOUNT WERE UNSUITABLE. 1993-2000 ALLEGED DAMAGES UNSPECIFIED.

**Product Type:** Equity - OTC

**Other Product Type(s):** EQUITY-LISTED

**Alleged Damages:**

### Customer Complaint Information

**Date Complaint Received:** 09/29/2000

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 11/29/2000

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** THE CLIENT'S CLAIM WAS DENIED.



## End of Report

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