



IAPD Report

PATRICK KEVIN MCFADDEN

CRD# 718564

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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

PATRICK KEVIN MCFADDEN (CRD# 718564)

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 **03/27/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OPPENHEIMER & CO. INC.	CRD# 249	11/14/2012
IA	OPPENHEIMER & CO. INC.	CRD# 249	01/15/2016

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **14** 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	MORGAN STANLEY	149777	BRYN MAWR, PA	06/01/2009 - 11/15/2012
B	CITIGROUP GLOBAL MARKETS INC.	7059	BRYN MAWR, PA	02/21/2006 - 06/01/2009
B	LEGG MASON WOOD WALKER, INCORPORATED	6555	BALTIMORE, MD	02/26/1988 - 02/21/2006

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
Termination	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 **14** 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	11/14/2012
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	11/14/2012
B Cboe Exchange, Inc.	General Securities Principal	Approved	07/26/2021
B FINRA	General Securities Principal	Approved	11/14/2012
B FINRA	General Securities Representative	Approved	11/14/2012
B FINRA	General Securities Sales Supervisor	Approved	11/14/2012
B FINRA	Invest. Co and Variable Contracts	Approved	11/14/2012
B NYSE American LLC	General Securities Principal	Approved	11/14/2012
B NYSE American LLC	General Securities Representative	Approved	11/14/2012
B NYSE American LLC	Securities Manager	Approved	11/14/2012
B NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B NYSE Arca, Inc.	General Securities Principal	Approved	11/14/2012
B NYSE Arca, Inc.	General Securities Representative	Approved	11/14/2012



Qualifications

Regulator	Registration	Status	Date
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	11/14/2012
B NYSE Texas, Inc.	General Securities Principal	Approved	11/14/2012
B NYSE Texas, Inc.	General Securities Representative	Approved	11/14/2012
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	03/04/2019
B Nasdaq ISE, LLC	General Securities Principal	Approved	11/14/2012
B Nasdaq ISE, LLC	General Securities Representative	Approved	11/14/2012
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B Nasdaq PHLX LLC	General Securities Principal	Approved	11/14/2012
B Nasdaq PHLX LLC	General Securities Representative	Approved	11/14/2012
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	11/14/2012
B Nasdaq Stock Market	General Securities Principal	Approved	11/14/2012
B Nasdaq Stock Market	General Securities Representative	Approved	11/14/2012
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	11/14/2012
B New York Stock Exchange	General Securities Principal	Approved	11/14/2012
B New York Stock Exchange	General Securities Representative	Approved	11/14/2012
B New York Stock Exchange	Securities Manager	Approved	11/14/2012
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B Colorado	Agent	Approved	01/12/2023
B Delaware	Agent	Approved	11/27/2012



Qualifications

Regulator	Registration	Status	Date
B Florida	Agent	Approved	12/21/2012
B Maine	Agent	Approved	11/28/2018
B Maryland	Agent	Approved	11/19/2012
B New Jersey	Agent	Approved	01/16/2013
B New York	Agent	Approved	12/03/2012
IA New York	Investment Adviser Representative	Approved	11/12/2024
B North Carolina	Agent	Approved	04/14/2021
B Ohio	Agent	Approved	11/20/2012
B Pennsylvania	Agent	Approved	11/15/2012
IA Pennsylvania	Investment Adviser Representative	Approved	01/15/2016
B Rhode Island	Agent	Approved	11/16/2012
B Texas	Agent	Approved	02/27/2013
IA Texas	Investment Adviser Representative	Restricted Approval	03/23/2016
B Virginia	Agent	Approved	11/19/2012
B Washington	Agent	Approved	12/19/2018

Branch Office Locations

OPPENHEIMER & CO. INC.
201 KING OF PRUSSIA ROAD
SUITE 320
RADNOR, PA 19087

OPPENHEIMER & CO. INC.
CUTCHOGUE, NY

OPPENHEIMER & CO. INC.
MALVERN, PA






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
	General Securities Principal Examination (S24)	Series 24	05/24/2001
	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/05/2001
	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	12/07/2000

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Futures Managed Funds Examination (S31)	Series 31	09/22/2011
	General Securities Representative Examination (S7)	Series 7	09/21/1985
	Direct Participation Programs Representative Examination (S22)	Series 22	09/03/1982
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/06/1980

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	05/11/2017
	Uniform Securities Agent State Law Examination (S63)	Series 63	10/02/1980



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	06/01/2009 - 11/15/2012	MORGAN STANLEY	CRD# 149777	BRYN MAWR, PA
B	02/21/2006 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	BRYN MAWR, PA
B	02/26/1988 - 02/21/2006	LEGG MASON WOOD WALKER, INCORPORATED	CRD# 6555	BALTIMORE, MD
B	10/04/1985 - 02/27/1988	MOSELEY SECURITIES CORPORATION	CRD# 7908	
B	11/10/1980 - 09/17/1985	IDS FINANCIAL SERVICES INC.	CRD# 6320	
B	11/10/1980 - 09/17/1985	IDS LIFE INSURANCE COMPANY	CRD# 6321	
B	11/10/1980 - 09/17/1985	IDS MARKETING CORPORATION	CRD# 6363	

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.	FA	Y	RADNOR, PA, 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.

YES, A/O JANUARY 2018

TITLE: TRUSTEE

ENTITY: TRUSTEE OF THE PATRICK MCFADDEN EXEMPT TRUST (AKA THE CHARLES MCFADDEN EXEMPT TRUST FBO PATRICK MCFADDEN), AN IRREVOCABLE TRUST USED FOR ESTATE PLAN.

RESPONSIBILITIES: TO MANAGE IN A FIDUCIARY CAPACITY ASSETS HELD IN TRUST INCLUDING INVESTMENTS IN SECURITIES.

TIME COMMITMENT: 100% OUTSIDE NORMAL BUSINESS HOURS WITH NO ANNUAL TIME COMMITMENT.

P.O. BOX 480

PAOLI, PA 19301



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
Termination	1

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:	Regulator
Employing firm when activities occurred which led to the complaint:	CITIGROUP GLOBAL MARKETS, INC.
Allegations:	BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, VIOLATION OF THE FINRA SUITABILITY RULES, PROFESSIONAL NEGLIGENCE
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$45,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #11-02911
Date Notice/Process Served:	07/25/2011
Arbitration Pending?	No
Disposition:	Denied
Disposition Date:	08/01/2012
Disposition Detail:	MCFADDEN WAS A SUBJECT OF THE CUSTOMER'S STATEMENT OF CLAIM FOR THIS ARBITRATION, ALLEGING THAT HE, WITH HIS MEMBER FIRM, CONTRIBUTED TO THE SALES PRACTICE VIOLATIONS. CLAIMANT'S CLAIMS AGAINST MCFADDEN'S MEMBER FIRM ARE DENIED IN THEIR ENTIRETY.



Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS, INC.
Allegations: CLAIMANT ALLEGES, INTER ALIA, THAT FROM 2006 THROUGH 2008 THE FINANCIAL ADVISOR MADE UNSUITABLE INVESTMENTS IN THE CLAIMANT'S ACCOUNTS.
Product Type: Equity Listed (Common & Preferred Stock)
Alleged Damages: \$45,000.00
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 #: 11-02911
Filing date of arbitration/CFTC reparation or civil litigation: 07/25/2011

Customer Complaint Information

Date Complaint Received: 08/09/2011
Complaint Pending? No
Status: Denied
Status Date: 08/02/2012
Settlement Amount:
Individual Contribution Amount:
Firm Statement THE CHAIRPERSON RULED THAT CLAIMANT'S CLAIMS ARE DENIED IN THEIR ENTIRETY.

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS, INC.
Allegations: CLAIMANT ALLEGES, INTER ALIA, THAT FROM 2006 THROUGH 2008 THE FINANCIAL ADVISOR MADE UNSUITABLE INVESTMENTS IN THE CLAIMANT'S ACCOUNTS.
Product Type: Equity Listed (Common & Preferred Stock)
Alleged Damages: \$45,000.00
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 #: 11-02911

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 07/25/2011

Customer Complaint Information

Date Complaint Received: 08/09/2011

Complaint Pending? No

Status: Denied

Status Date: 08/02/2012

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement THE CHAIRPERSON RULED THAT CLAIMANT'S CLAIMS ARE DENIED IN THEIR ENTIRETY.

Disclosure 2 of 3

Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:** MORGAN STANLEY SMITH BARNEY

Allegations: CLIENT ALLEGED MISREPRESENTATION WITH RESPECT TO AN ANNUITY INVESTMENT - 2007. DAMAGES UNSPECIFIED.

Product Type: Other: SINGLE PREMIUM IMMEDIATE ANNUITY

Alleged Damages: \$0.00

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: 09/18/2009

Complaint Pending? No

Status: Denied

Status Date: 12/03/2009

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement CLAIM DENIED.



Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LEGG MASON WOOD WALKER, INC.

Allegations: THE CLIENT ALLEGES SEVERAL TRANSACTIONS IN HIS ACCOUNT WERE EXECUTED ON AN UNAUTHORIZED BASIS. THE CLIENT ALLEGES DAMAGES IN EXCESS OF \$5,000.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$41,100.00

Customer Complaint Information

Date Complaint Received: 12/29/2000

Complaint Pending? No

Status: Denied

Status Date: 01/08/2001

Settlement Amount:

Individual Contribution Amount:



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Firm Name: MSWM
Termination Type: Discharged
Termination Date: 10/17/2012
Allegations: ALLEGATIONS RELATING TO FA'S MANAGEMENT OF FUNDS HELD FOR AS CUSTODIAN FOR THE BENEFIT OF A MINOR RELATIVE.
Product Type: Annuity-Variable

Reporting Source: Individual
Firm Name: MSWM
Termination Type: Discharged
Termination Date: 10/17/2012
Allegations: ALLEGATIONS RELATING TO FA'S MANAGEMENT OF FUNDS HELD FOR AS CUSTODIAN FOR THE BENEFIT OF MINOR RELATIVE.
Product Type: Annuity-Variable

Broker Statement Regarding Mr. McFadden's employment separation due to "ALLEGATIONS RELATING TO FA'S MANAGEMENT OF FUNDS HELD FOR AS CUSTODIAN FOR THE BENEFIT OF A MINOR RELATIVE". No lawsuit was ever filed, and Mr. McFadden vigorously denies all misconduct alleged by the minor. I am unaware of anything coming out of a Morgan Stanley investigation. This was a family matter and the allegations made are completely untrue.



End of Report

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