



## IAPD Report

# SUSAN REGINA MITCHELL

CRD# 734643

| <b><u>Section Title</u></b>         | <b><u>Page(s)</u></b> |
|-------------------------------------|-----------------------|
| Report Summary                      | 1                     |
| Qualifications                      | 2 - 5                 |
| Registration and Employment History | 7                     |
| Disclosure Information              | 8                     |



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

### SUSAN REGINA MITCHELL (CRD# 734643)

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 **08/21/2025**.

### CURRENT EMPLOYERS

|    | Firm                   | CRD#     | Registered Since |
|----|------------------------|----------|------------------|
| B  | OPPENHEIMER & CO. INC. | CRD# 249 | 04/02/2012       |
| IA | OPPENHEIMER & CO. INC. | CRD# 249 | 04/27/2012       |

### QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **17** 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  | RBC CAPITAL MARKETS, LLC        | 31194 | DENVER, CO | 11/18/2002 - 03/26/2012 |
| IA | RBC CAPITAL MARKETS, LLC        | 31194 | DENVER, CO | 11/18/2002 - 03/26/2012 |
| IA | U.S. BANCORP PIPER JAFFRAY INC. | 665   | DENVER, CO | 01/01/1999 - 12/03/2002 |

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 |
|-------------|-------|
| 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 **17** 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 | 04/02/2012 |
| <b>B</b> | Cboe Exchange, Inc. | General Securities Sales Supervisor | Approved | 04/02/2012 |
| <b>B</b> | FINRA               | General Securities Representative   | Approved | 04/02/2012 |
| <b>B</b> | FINRA               | General Securities Sales Supervisor | Approved | 04/02/2012 |
| <b>B</b> | NYSE American LLC   | General Securities Representative   | Approved | 04/02/2012 |
| <b>B</b> | NYSE American LLC   | General Securities Sales Supervisor | Approved | 10/01/2018 |
| <b>B</b> | NYSE Arca, Inc.     | General Securities Representative   | Approved | 04/02/2012 |
| <b>B</b> | NYSE Arca, Inc.     | General Securities Sales Supervisor | Approved | 04/02/2012 |
| <b>B</b> | NYSE Texas, Inc.    | General Securities Representative   | Approved | 04/02/2012 |
| <b>B</b> | NYSE Texas, Inc.    | General Securities Sales Supervisor | Approved | 03/05/2019 |
| <b>B</b> | Nasdaq ISE, LLC     | General Securities Representative   | Approved | 04/02/2012 |
| <b>B</b> | Nasdaq ISE, LLC     | General Securities Sales Supervisor | Approved | 10/01/2018 |
| <b>B</b> | Nasdaq PHLX LLC     | General Securities Representative   | Approved | 04/02/2012 |



## Qualifications

|    | Regulator               | Registration                        | Status   | Date       |
|----|-------------------------|-------------------------------------|----------|------------|
| B  | Nasdaq PHLX LLC         | General Securities Sales Supervisor | Approved | 04/02/2012 |
| B  | Nasdaq Stock Market     | General Securities Representative   | Approved | 04/02/2012 |
| B  | Nasdaq Stock Market     | General Securities Sales Supervisor | Approved | 04/02/2012 |
| B  | New York Stock Exchange | General Securities Representative   | Approved | 04/02/2012 |
| B  | New York Stock Exchange | General Securities Sales Supervisor | Approved | 10/01/2018 |
| B  | Alaska                  | Agent                               | Approved | 05/01/2012 |
| B  | Arizona                 | Agent                               | Approved | 06/12/2012 |
| B  | California              | Agent                               | Approved | 04/30/2012 |
| B  | Colorado                | Agent                               | Approved | 04/27/2012 |
| IA | Colorado                | Investment Adviser Representative   | Approved | 04/27/2012 |
| B  | Connecticut             | Agent                               | Approved | 11/06/2017 |
| B  | District of Columbia    | Agent                               | Approved | 05/03/2012 |
| B  | Florida                 | Agent                               | Approved | 04/30/2012 |
| B  | Illinois                | Agent                               | Approved | 07/30/2025 |
| B  | Minnesota               | Agent                               | Approved | 12/09/2016 |
| B  | New Jersey              | Agent                               | Approved | 04/27/2012 |
| B  | New York                | Agent                               | Approved | 04/27/2012 |
| B  | Ohio                    | Agent                               | Approved | 06/18/2012 |
| B  | Oregon                  | Agent                               | Approved | 05/09/2012 |



Qualifications

| Regulator           | Registration | Status   | Date       |
|---------------------|--------------|----------|------------|
| <b>B</b> Tennessee  | Agent        | Approved | 08/22/2025 |
| <b>B</b> Virginia   | Agent        | Approved | 05/30/2018 |
| <b>B</b> Washington | Agent        | Approved | 04/27/2012 |
| <b>B</b> Wyoming    | Agent        | Approved | 10/10/2024 |

Branch Office Locations

**OPPENHEIMER & CO. INC.**  
3200 CHERRY CREEK SOUTH DRIVE  
SUITE 310  
DENVER, CO 80209



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

#### Principal/Supervisory Exams

|                                                                                    | Exam                                                                                   | Category  | Date       |
|------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|-----------|------------|
|   | General Securities Sales Supervisor - General Module Examination (S10)                 | Series 10 | 01/02/2023 |
|   | General Securities Sales Supervisor - Options Module Examination (S9)                  | Series 9  | 01/02/2023 |
|  | General Securities Sales Supervisor Examination (Options Module & General Module) (S8) | Series 8  | 09/06/1984 |

#### General Industry/Product Exams

|                                                                                     | Exam                                               | Category | Date       |
|-------------------------------------------------------------------------------------|----------------------------------------------------|----------|------------|
|  | Securities Industry Essentials Examination (SIE)   | SIE      | 10/01/2018 |
|  | National Commodity Futures Examination (S3)        | Series 3 | 08/02/1984 |
|  | Interest Rate Options Examination (S5)             | Series 5 | 10/12/1981 |
|  | General Securities Representative Examination (S7) | Series 7 | 07/18/1981 |

#### State Securities Law Exams

|                                                                                     | Exam                                                 | Category  | Date       |
|-------------------------------------------------------------------------------------|------------------------------------------------------|-----------|------------|
|  | Uniform Investment Adviser Law Examination (S65)     | Series 65 | 02/23/1999 |
|  | Uniform Securities Agent State Law Examination (S63) | Series 63 | 08/02/1982 |



## 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 |
|----|-------------------------|----------------------------------------------------|------------|-----------------|
| B  | 11/18/2002 - 03/26/2012 | RBC CAPITAL MARKETS, LLC                           | CRD# 31194 | DENVER, CO      |
| IA | 11/18/2002 - 03/26/2012 | RBC CAPITAL MARKETS, LLC                           | CRD# 31194 | DENVER, CO      |
| IA | 01/01/1999 - 12/03/2002 | U.S. BANCORP PIPER JAFFRAY INC.                    | CRD# 665   | DENVER, CO      |
| B  | 11/30/1994 - 12/03/2002 | U.S. BANCORP PIPER JAFFRAY INC.                    | CRD# 665   | MINNEAPOLIS, MN |
| B  | 11/29/1983 - 12/06/1994 | PRUDENTIAL SECURITIES INCORPORATED                 | CRD# 7471  | NEW YORK, NY    |
| B  | 07/20/1981 - 11/11/1983 | MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED | CRD# 7691  |                 |

### 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         |
|-------------------|------------------------|----------------------|--------------------|---------------------------|
| 04/2012 - Present | OPPENHEIMER & CO. INC. | FINANCIAL CONSULTANT | Y                  | DENVER, CO, 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.

No information reported.



## 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 |
|-------------|-------|
| Termination | 1     |

### 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

|                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
|--------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Reporting Source:</b> | Firm                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>Firm Name:</b>        | RBC CAPITAL MARKETS, LLC                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <b>Termination Type:</b> | Discharged                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| <b>Termination Date:</b> | 03/19/2012                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| <b>Allegations:</b>      | VIOLATION OF FIRM POLICY AND INDUSTRY STANDARDS REGARDING ACTIONS INVOLVING A CLIENT WITHOUT FIRM KNOWLEDGE OR APPROVAL.                                                                                                                                                                                                                                                                                                                                                                              |
| <b>Product Type:</b>     | No Product                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| <b>Firm Statement</b>    | VIOLATED FIRM POLICY AND INDUSTRY STANDARDS BY SERVING AS PERSONAL REPRESENTATIVE FOR A CLIENT'S ESTATE WITHOUT FIRM KNOWLEDGE OR APPROVAL, ACTING AS JOINT TENANT ON THE SAME CLIENT'S EXTERNAL CHECKING ACCOUNT WITHOUT FIRM KNOWLEDGE OR APPROVAL, ACCEPTING THE DEED TO THE SAME ELDERLY CLIENT'S HOME WITHOUT FIRM KNOWLEDGE OR APPROVAL. IN ADDITION, THE REGISTERED REPS SON WAS A BENEFICIARY TO THE CLIENT'S ESTATE AND ON A LIFE INSURANCE POLICY, ALSO WITHOUT FIRM KNOWLEDGE OR APPROVAL. |

---

|                          |                                                                                                                          |
|--------------------------|--------------------------------------------------------------------------------------------------------------------------|
| <b>Reporting Source:</b> | Individual                                                                                                               |
| <b>Firm Name:</b>        | RBC CAPITAL MARKETS, LLC                                                                                                 |
| <b>Termination Type:</b> | Discharged                                                                                                               |
| <b>Termination Date:</b> | 03/19/2012                                                                                                               |
| <b>Allegations:</b>      | VIOLATION OF FIRM POLICY AND INDUSTRY STANDARDS REGARDING ACTIONS INVOLVING A CLIENT WITHOUT FIRM KNOWLEDGE OR APPROVAL. |

**Product Type:**

No Product

**Broker Statement**

VIOLATED FIRM POLICY AND INDUSTRY STANDARDS BY SERVING AS PERSONAL REPRESENTATIVE FOR A CLIENT'S ESTATE WITHOUT FIRM KNOWLEDGE OR APPROVAL, ACTING AS JOINT TENANT ON THE SAME CLIENT'S EXTERNAL CHECKING ACCOUNT WITHOUT FIRM KNOWLEDGE OR APPROVAL, ACCEPTING THE DEED TO THE SAME ELDERLY CLIENT'S HOME WITHOUT FIRM KNOWLEDGE OR APPROVAL. IN ADDITION, THE REGISTERED REPS SON WAS A BENEFICIARY TO THE CLIENT'S ESTATE AND ON A LIFE INSURANCE POLICY, ALSO WITHOUT FIRM KNOWLEDGE OR APPROVAL.

I HAD A CLOSE RELATIONSHIP WITH A COUPLE WHO WERE MY CLIENTS FOR THE SPAN OF 26 YEARS. OVER TIME AND AFTER THE HUSBAND HAD PASSED, I CARED FOR THE WIFE ON A DAILY BASIS. SHE BECAME LIKE A MOTHER TO ME AND, AS HER FAMILY HAS TOLD ME, I WAS THE DAUGHTER SHE NEVER HAD. I FAILED TO TIMELY REPORT THIS TO MY EMPLOYER AND I REGRET THAT. AS A COLLEAGUE SAID, MY BIG HEART GOT IN MY WAY. THAT DOES NOT DISCOUNT MY RESPONSIBILITY, BUT THAT IS HOW THIS BEGAN. THERE ARE NO SIMILAR RELATIONSHIPS IN MY BOOK OR IN MY LIFE AND I FULLY ACCEPT MY RESPONSIBILITY TO SEEK GUIDANCE AND MAKE FULL DISCLOSURE NOW AND IN THE FUTURE.



## End of Report

This page is intentionally left blank.