IAPD Report

JANE WASSERSTROM

CRD# 869389

Section Title	Page(s)
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6
Disclosure Information	7

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

JANE WASSERSTROM (CRD# 869389)

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 **02/26/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OPPENHEIMER & CO. INC.	CRD# 249	04/10/2018
IA	OPPENHEIMER & CO. INC.	CRD# 249	10/16/2021

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **20** 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	NEW YORK, NY	03/31/2006 - 03/28/2018
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY	03/08/2006 - 04/06/2006
B	ADVEST, INC.	10	HARTFORD, CT	06/07/2002 - 03/08/2006

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	1
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 **20** 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	04/10/2018
B	FINRA	General Securities Representative	Approved	04/10/2018
B	NYSE American LLC	General Securities Representative	Approved	04/10/2018
B	NYSE Arca, Inc.	General Securities Representative	Approved	04/10/2018
B	NYSE Texas, Inc.	General Securities Representative	Approved	04/10/2018
B	Nasdaq ISE, LLC	General Securities Representative	Approved	04/10/2018
B	Nasdaq PHLX LLC	General Securities Representative	Approved	04/10/2018
B	Nasdaq Stock Market	General Securities Representative	Approved	04/10/2018
B	New York Stock Exchange	General Securities Representative	Approved	04/10/2018
B	Arizona	Agent	Approved	12/04/2020
B	California	Agent	Approved	04/17/2018
B	Connecticut	Agent	Approved	04/14/2022
B	Delaware	Agent	Approved	01/21/2026

Qualifications

	Regulator	Registration	Status	Date
B	District of Columbia	Agent	Approved	01/21/2026
B	Florida	Agent	Approved	07/16/2018
B	Georgia	Agent	Approved	04/11/2018
B	Illinois	Agent	Approved	02/25/2026
B	Maine	Agent	Approved	02/26/2026
B	Michigan	Agent	Approved	01/22/2026
B	Nevada	Agent	Approved	04/10/2018
B	New Hampshire	Agent	Approved	01/26/2023
B	New Jersey	Agent	Approved	04/10/2018
B	New York	Agent	Approved	04/10/2018
IA	New York	Investment Adviser Representative	Approved	10/16/2021
B	North Carolina	Agent	Approved	01/20/2026
B	Pennsylvania	Agent	Approved	06/07/2018
B	Rhode Island	Agent	Approved	01/28/2025
B	South Carolina	Agent	Approved	02/04/2026
B	Texas	Agent	Approved	01/09/2021
B	Virginia	Agent	Approved	11/30/2020

Branch Office Locations

OPPENHEIMER & CO. INC.
666 3RD AVENUE

Qualifications

NEW YORK, NY 10017

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, 3 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	10/17/1981
B	Registered Representative Examination (S1)	Series 1	07/26/1979

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	10/15/2021
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/20/2000
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/08/1986

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	03/31/2006 - 03/28/2018	UBS FINANCIAL SERVICES INC.	CRD# 8174	NEW YORK, NY
B	03/08/2006 - 04/06/2006	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	06/07/2002 - 03/08/2006	ADVEST, INC.	CRD# 10	HARTFORD, CT
B	10/30/1981 - 06/07/2002	LEBENTHAL & CO., INC.	CRD# 6490	NEW YORK, NY
B	08/01/1979 - 08/04/1981	FIRST INVESTORS CORPORATION	CRD# 305	

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
04/2018 - Present	Oppenheimer & Co. Inc.	FINANCIAL ADVISOR	Y	New York, NY, United States
03/2006 - 02/2018	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	NEW YORK, NY, 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
Customer Dispute	1
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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC
Allegations:	TIME FRAME: MAY 2008 CLAIMANT ALLEGES THAT, IN MAY 2008, UBS RECOMMENDED THAT HE SELL TOBACCO BONDS & REINVEST THE PROCEEDS OF $234,456 IN FANNIE MAE PREFERRED STOCK. CLAIMANT ALLEGES THAT THIS RECOMMENDATION WAS UNSUITABLE.
Product Type:	Other: PREFERRED SHARES
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	$100,000 - $500,000
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 #:	11-02463
Filing date of	07/05/2011

arbitration/CFTC reparation or civil litigation:

Customer Complaint Information

Date Complaint Received:	07/05/2011
Complaint Pending?	No
Status:	Settled
Status Date:	11/19/2013
Settlement Amount:	$105,500.00
Individual Contribution Amount:	$0.00
Broker Statement	I WAS NOT NAMED AS A RESPONDENT IN THE COMPLAINT AND I ASSERT THAT I MADE NO UNSUITABLE RECOMMENDATIONS WITH RESPECT TO THE FANNIE MAE PREFERRED STOCK AT ISSUE THE PRECIPITOUS DECLINE IN THE VALUE OF THE PREFERRED WAS DUE TO CATACLYSMIC ECONOMIC EVENTS AND GOVERNMENTAL ACTIONS THAT COULD NOT HAVE BEEN ANTICIPATED. THE CASE WAS SETTLED TO AVOID FURTHER DEFENSE COSTS AND I WAS NOT ASKED TO CONTRIBUTE ANY MONIES TOWARD THE SETTLEMENT OF THIS MATTER.

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:	UBS FINANCIAL SERVICES INC
Termination Type:	Discharged
Termination Date:	02/27/2018
Allegations:	The investigation uncovered that the employee violated firm policy by (i) failing to call a client to confirm a wire request (ii) instructing support staff to process the disbursement.
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	UBS Financial Services Inc
Termination Type:	Discharged
Termination Date:	02/27/2018
Allegations:	The investigation uncovered that the employee violated firm policy by (i) failing to call a client to confirm a wire request (ii) instructing support staff to process the disbursement.
Product Type:	No Product
Broker Statement	On November 20, 2017, I received an email from a long-standing client requesting a wire transfer of funds on hand with UBS to a bank account which he designated in the email. To comply with company policy, I emailed the client telling him that I would need verbal (oral) confirmation of his emailed instruction. The client emailed that he was unavailable to speak with me at that time. I advised my assistant to send the wire transfer by the close of business on that day believing-consistent with my past practice with this and other clients-that the necessary oral confirmation would occur during the course of the day. I was completely unaware that my client's email account had been hacked and that my follow-up with the client was instead going to a hacker rather than my client. Unfortunately, on the same day, I was compelled to leave the office midday to attend to the medical needs of my brother who is disabled and over whom on that day I had sole responsibility for monitoring his care. After speaking with the client on the morning of November 21, 2017, I found out that he did not make the request and his email had been hacked. I quickly took action to reverse the transfer, and neither the client nor UBS suffered any loss or liability. I also immediately alerted management to explain that the client's email account had been hacked in addition to advising of the issues concerning my brother which had served to distract me on the day in question. I heard nothing more from management about the incident until more than 3 months later (on Tuesday, February 27, 2018), when I was informed that a decision had been made to terminate my employment, effective immediately. I was given no notice, no warning, nor "progressive discipline" (as had been the case with others in similar circumstances). Appreciating a financial institution's

obligation to promptly and properly document "reportable events," I continue to believe that termination of my 12 year tenure of employment with UBS was not a necessary response to the issue presented in this instance.

End of Report

This page is intentionally left blank.

