

## BrokerCheck Report

**JEFFREY ROSS GLAZER**

CRD# 2818073

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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.

## About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

**Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at [brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit [www.finra.org](http://www.finra.org).

**JEFFREY R. GLAZER**

CRD# 2818073

**Currently employed by and registered with the following Firm(s):**

**B A.G.P. / ALLIANCE GLOBAL PARTNERS**

590 Madison Avenue

28th Floor

New York, NY 10022

CRD# 8361

Registered with this firm since: 06/09/2023

**Report Summary for this Broker**

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

**Broker Qualifications**

**This broker is registered with:**

- 2 Self-Regulatory Organizations
- 48 U.S. states and territories

**This broker has passed:**

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 1 State Securities Law Exam

**Registration History**

**This broker was previously registered with the following securities firm(s):**

**B LAIDLAW & COMPANY (UK) LTD.**

CRD# 119037

NEW YORK, NY

04/2007 - 07/2023

**B EKN FINANCIAL SERVICES INC.**

CRD# 113525

NEW YORK, NY

07/2006 - 04/2007

**B CAPITAL GROWTH FINANCIAL, LLC**

CRD# 41040

NEW YORK, NY

06/2005 - 08/2006

**Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

**The following types of disclosures have been reported:**

Type	Count
Customer Dispute	6



## Broker Qualifications

### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

**This individual is currently registered with 2 SROs and is licensed in 48 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **A.G.P. / ALLIANCE GLOBAL PARTNERS**

Main Office Address: **88 POST ROAD WEST  
2ND FLOOR  
WESTPORT, CT 06880**

Firm CRD#: **8361**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	06/09/2023
B	Nasdaq Stock Market	General Securities Representative	Approved	06/09/2023

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	07/06/2023
B	Arizona	Agent	Approved	06/09/2023
B	Arkansas	Agent	Approved	06/09/2023
B	California	Agent	Approved	06/09/2023
B	Connecticut	Agent	Approved	06/12/2023
B	Delaware	Agent	Approved	06/26/2023
B	District of Columbia	Agent	Approved	06/09/2023
B	Florida	Agent	Approved	06/19/2023
B	Georgia	Agent	Approved	06/09/2023
B	Hawaii	Agent	Approved	10/19/2023
B	Idaho	Agent	Approved	06/20/2023

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Illinois	Agent	Approved	06/09/2023
B	Indiana	Agent	Approved	07/06/2023
B	Iowa	Agent	Approved	06/09/2023
B	Kansas	Agent	Approved	06/09/2023
B	Kentucky	Agent	Approved	06/09/2023
B	Louisiana	Agent	Approved	07/07/2023
B	Maine	Agent	Approved	06/12/2023
B	Maryland	Agent	Approved	06/09/2023
B	Massachusetts	Agent	Approved	07/05/2023
B	Michigan	Agent	Approved	06/09/2023
B	Minnesota	Agent	Approved	07/06/2023
B	Mississippi	Agent	Approved	06/26/2023
B	Missouri	Agent	Approved	06/09/2023
B	Montana	Agent	Approved	06/21/2023
B	Nebraska	Agent	Approved	07/18/2023
B	Nevada	Agent	Approved	07/06/2023
B	New Hampshire	Agent	Approved	06/09/2023
B	New Jersey	Agent	Approved	06/09/2023
B	New Mexico	Agent	Approved	06/09/2023
B	New York	Agent	Approved	06/09/2023
B	North Carolina	Agent	Approved	07/06/2023

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	North Dakota	Agent	Approved	06/09/2023
B	Ohio	Agent	Approved	06/09/2023
B	Oklahoma	Agent	Approved	06/12/2023
B	Oregon	Agent	Approved	06/09/2023
B	Pennsylvania	Agent	Approved	06/09/2023
B	Puerto Rico	Agent	Approved	06/09/2023
B	Rhode Island	Agent	Approved	06/09/2023
B	South Carolina	Agent	Approved	06/21/2023
B	South Dakota	Agent	Approved	06/20/2023
B	Texas	Agent	Approved	06/09/2023
B	Utah	Agent	Approved	06/09/2023
B	Vermont	Agent	Approved	06/09/2023
B	Virginia	Agent	Approved	06/09/2023
B	Washington	Agent	Approved	07/06/2023
B	West Virginia	Agent	Approved	06/09/2023
B	Wyoming	Agent	Approved	06/09/2023

### Branch Office Locations

#### A.G.P. / ALLIANCE GLOBAL PARTNERS

590 Madison Avenue  
28th Floor  
New York, NY 10022



## Broker Qualifications

### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

**This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	11/08/1996

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	12/09/1996

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).

## Broker Qualifications



## Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.





## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 04/2007 - 07/2023	LAIDLAW & COMPANY (UK) LTD.	119037	NEW YORK, NY
<b>B</b> 07/2006 - 04/2007	EKN FINANCIAL SERVICES INC.	113525	NEW YORK, NY
<b>B</b> 06/2005 - 08/2006	CAPITAL GROWTH FINANCIAL, LLC	41040	NEW YORK, NY
<b>B</b> 01/2005 - 06/2005	MAXIM GROUP LLC	120708	NEW YORK, NY
<b>B</b> 01/2002 - 02/2005	OPPENHEIMER & CO. INC.	249	NEW YORK, NY
<b>B</b> 12/1997 - 01/2002	PRIME CHARTER LTD.	25668	NEW YORK, NY
<b>B</b> 03/1997 - 01/1998	D. H. BLAIR & CO., INC.	6833	NEW YORK, NY
<b>B</b> 11/1996 - 04/1997	ROAN CAPITAL PARTNERS L.P.	33063	NEW YORK, NY

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment	Employer Name	Position	Investment Related	Employer Location
06/2023 - Present	Alliance Global Partners	Registered Rep	Y	New York, NY, United States
04/2007 - 06/2023	LAIDLAW & COMPANY (UK) LTD	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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 Events



### What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
  - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
  -
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
  - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
    - A "pending" event involves allegations that have not been proven or formally adjudicated.
    - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" event has been concluded and its resolution is not subject to change.
  - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	6	N/A



## Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

### Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

#### Disclosure 1 of 3

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	LAIDLAW & COMPANY (UK) LTD.
<b>Allegations:</b>	Client alleges he invested in private placements laden with conflicts of interest and undisclosed fees and trading strategies designed to generate excessive commissions.
<b>Product Type:</b>	Equity-OTC Equity Listed (Common & Preferred Stock) Other: Private Placements
<b>Alleged Damages:</b>	\$500,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	23-03456
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	12/12/2023



## Customer Complaint Information

**Date Complaint Received:** 12/12/2023

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 08/07/2024

**Settlement Amount:** \$100,000.00

**Individual Contribution Amount:** \$0.00

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**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** LAIDLAW & COMPANY (UK) LTD.

**Allegations:** Client alleges he was invetsed in usnsuitable private placements and charged excessive commisions.

**Product Type:** Equity-OTC  
Equity Listed (Common & Preferred Stock)  
Other: Private Placements

**Alleged Damages:** \$500,000.00

**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 #:** 23-03456

**Filing date of arbitration/CFTC reparation or civil litigation:** 12/12/2023

## Customer Complaint Information

**Date Complaint Received:** 12/12/2023

**Complaint Pending?** No



<b>Status:</b>	Settled
<b>Status Date:</b>	08/07/2024
<b>Settlement Amount:</b>	\$100,000.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	As stated in the claim itself "Mr. Glazer is not a subject of this arbitration claim, and there are no sales practice violations alleged against him". Mr. Glazer's prior firm improperly added him as a party, and he is currently working with counsel to have himself removed. Please also note that Mr. [REDACTED] currently remains a client of Mr. Glazer.

#### Disclosure 2 of 3

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	LAIDLAW & COMPANY (UK) LTD
<b>Allegations:</b>	CLAIMANT ALLEGES UNAUTHORIZED TRADING, UNAUTHORIZED MARGIN TRANSACTIONS, FAILURE TO SUPERVISE, UNSUITABLE TRANSACTIONS AND EXCESSIVE TRADING
<b>Product Type:</b>	CD Equity Listed (Common & Preferred Stock) Options Other: PIPE
<b>Alleged Damages:</b>	\$500,000.00
<b>Arbitration Information</b>	
<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	09-03312
<b>Date Notice/Process Served:</b>	06/08/2009
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	05/16/2010



<b>Monetary Compensation Amount:</b>	\$308,000.00
<b>Individual Contribution Amount:</b>	\$100,000.00
<b>Broker Statement</b>	PURSUANT TO THE SETTLEMENT AGREEMENT THE RESPONDENTS AND SUBJECTS WERE WITHDRAWN AND DISMISSED FROM ALL CLAIMS IN CONNECTION WITH THIS PENDING ARBITRATION

### Disclosure 3 of 3

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	CAPITAL GROWTH FINANCIAL, LLC
<b>Allegations:</b>	PENNY STOCK VIOLATIONS; OVERCONCENTRATION IN HIGH TECH STOCKS; LYING TO CUSTOMER REGARDING THE TRUE VALUE OF THE ACCOUNT
<b>Product Type:</b>	Penny Stock(s)
<b>Other Product Type(s):</b>	EQUITY-OTC
<b>Alleged Damages:</b>	\$30,000.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	04/23/2007
<b>Complaint Pending?</b>	No
<b>Status:</b>	Arbitration/Reparation
<b>Status Date:</b>	04/23/2007
<b>Settlement Amount:</b>	

**Individual Contribution Amount:**

### Arbitration Information

<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	NASD 07-01233
<b>Date Notice/Process Served:</b>	04/23/2007
<b>Arbitration Pending?</b>	Yes

**Firm Statement**

THE SECURITIES THAT THE CLIENT MENTIONS IN THE ARBITRATION WERE LOW-PRICED (UNDER \$5), BUT DID NOT MEET THE DEFINITION OF "PENNY STOCKS" PURSUANT TO SEC RULE 15G

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**Reporting Source:**

Broker

**Employing firm when activities occurred which led to the complaint:**

CAPITAL GROWTH FINANCIAL, LLC

**Allegations:**

PENNY STOCK VIOLATIONS; OVERCONCENTRATION IN HIGH TECH STOCKS, LYING TO CUSTOMER REGARDING THE TRUE VALUE OF THE ACCOUNT

**Product Type:**

Penny Stock(s)

**Other Product Type(s):**

EQUITY OTC

**Alleged Damages:**

\$30,000.00

**Customer Complaint Information****Date Complaint Received:****Complaint Pending?****Status:**

Arbitration/Reparation

**Status Date:****Settlement Amount:****Individual Contribution Amount:****Arbitration Information****Arbitration/Reparation Claim filed with and Docket/Case No.:**

NASD #07-01233

**Date Notice/Process Served:**

04/23/2007

**Arbitration Pending?**

No

**Disposition:**

Settled

**Disposition Date:**

01/31/2008

**Monetary Compensation Amount:**

\$0.00



**Individual Contribution  
Amount:**

\$0.00

**Broker Statement**

THE SECURITIES THAT THE CLIENT MENTIONS IN THE ARBITRATION WERE LOW-PRICED (UNDER \$5), BUT DID NOT MEET THE DEFINITION OF "PENNY STOCKS" PURSUANT TO SEC RULE 15G. THIS MATTER WAS SETTLED BETWEEN [CUSTOMER] AND CAPITAL GROWTH FINCL WITH NO CONTRIBUTION FROM JEFF GLAZER. CAPITAL GROWTH FINCL WENT OUT OF BUSINESS BEFORE CONTRIBUTING TO THE SETTLEMENT. THIS HAS NO IMPACT ON JEFF GLAZER BEING DISMISSED





## Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

### Disclosure 1 of 3

**Reporting Source:** Firm

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

**Allegations:** PURCHASE OF "INAPPROPRIATE" SECURITIES PRIOR TO 01/2005.

**Product Type:** Equity - OTC

**Alleged Damages:** \$106,423.00

### Customer Complaint Information

**Date Complaint Received:** 06/05/2006

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 08/09/2006

**Settlement Amount:**

**Individual Contribution Amount:**

**Reporting Source:** Broker

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

**Allegations:** PURCHASE OF "INAPPROPRIATE" SECURITIES PRIOR TO 01/2005.

**Product Type:** Equity - OTC

**Alleged Damages:** \$106,423.00

### Customer Complaint Information

**Date Complaint Received:** 06/05/2006



**Complaint Pending?** No

**Status:** Denied

**Status Date:** 08/14/2006

**Settlement Amount:**

**Individual Contribution Amount:**

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#### Disclosure 2 of 3

**Reporting Source:** Firm

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

**Allegations:** PURCHASE OF "INAPPROPRIATE" SECURITIES PRIOR TO 1/2005.

**Product Type:** Equity - OTC

**Alleged Damages:** \$156,043.00

#### Customer Complaint Information

**Date Complaint Received:** 05/30/2006

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 08/09/2006

**Settlement Amount:**

**Individual Contribution Amount:**

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**Reporting Source:** Broker

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

**Allegations:** PURCHASE OF "INAPPROPRIATE" SECURITIES PRIOR TO 1/2005

**Product Type:** Equity - OTC

**Alleged Damages:** \$156,043.00



## Customer Complaint Information

**Date Complaint Received:** 05/30/2006  
**Complaint Pending?** No  
**Status:** Denied  
**Status Date:** 08/14/2006  
**Settlement Amount:**  
**Individual Contribution Amount:**

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### Disclosure 3 of 3

**Reporting Source:** Firm  
**Employing firm when activities occurred which led to the complaint:** OPPENHEIMER & CO. INC.  
**Allegations:** UNSPECIFIED UNAUTHORIZED TRADES, UNEXPECTED SELL ORDER. DAMAGES ARE UNSPECIFIED, BUT BELIEVED TO BE GREATER THEN \$5000.  
**Product Type:** Equity - OTC  
**Alleged Damages:** \$5,000.00

## Customer Complaint Information

**Date Complaint Received:** 01/28/2005  
**Complaint Pending?** No  
**Status:** Closed/No Action  
**Status Date:** 11/02/2005  
**Settlement Amount:**  
**Individual Contribution Amount:**

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**Reporting Source:** Broker  
**Employing firm when activities occurred which led to the complaint:** OPPENHEIMER & CO., INC.



**Allegations:** UNSPECIFIED UNAUTHORIZED TRADES, UNEXPECTED SELL ORDER.  
DAMAGES ARE UNSPECIFIED, BUT BELIEVED TO BE GREATER THAN  
\$5,000.

**Product Type:** Equity - OTC

**Alleged Damages:** \$5,000.00

### **Customer Complaint Information**

**Date Complaint Received:** 01/28/2005

**Complaint Pending?** No

**Status:** Closed/No Action

**Status Date:** 11/02/2005

**Settlement Amount:**

**Individual Contribution  
Amount:**

## End of Report



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