

EXHIBIT 5

Arbitrator's Order dated March 14, 2025 (pre-hearing conference rulings)

**ORDER****Submitted By:** Peter Ordower (On behalf of the arbitration panel)**Submitted Date:** 03/14/2025 05:14:25 PM ET**Case ID & Parties:*****FINRA Dispute Resolution Services*****ORDER****Case Number:** 24-02286**In the Matter of the Arbitration Between****Claimant(s)****VS****Respondent(s)**

Jordan T Weiner

Oppenheimer & Co., Inc.

Terri P Tepper

PREHEARING CONFERENCE

1. Was a prehearing conference held in the above captioned matter?

☒ **Yes**☐ No

a. Prehearing conference date:

A prehearing conference was held in the above captioned matter on **03/14/2025** at **02:00 PM**
Central Time Zone

b. The following arbitrator(s) participated in the hearing:

Chairman: Peter Ordower (Participated ☒)

c. The following party representatives participated in the hearing:

Identify Claimant Representatives:

Jordan Weiner

Identify Respondent Representatives:

John McGuier

d. FINRA Dispute Resolution Services staff attendee:

☒ **The following FINRA Dispute Resolution Services Staff person participated in the hearing:****Scott Hogan, zoom controller**☐ Not applicable**ISSUES ADDRESSED**

2. Issues addressed: (i.e., name of motion or request, by which party)

● The following submissions have been addressed:

Claimant's letters of 3/10/25 and 3/11/25 seeking discovery and Respondent's response letter

ORDER DECIDED BY

3. Decided by:

- **Chairperson**
○ Panel

RULINGS

4. Rulings:

- **After considering the parties' submissions (and oral arguments, if prehearing conference held), the Panel/Chairperson rules as follows:**

1. Oppenheimer's demand for execution of a confidentiality agreement as a condition of producing documents is denied. Oppenheimer is still free to seek an order of confidentiality regarding internal documents which are not communications between the claimant and respondent for good cause.

2. Oppenheimer has voluntarily agreed to produce and reproduce all of its document production in segments which are no more than 30 MB each.

3. Oppenheimer is to produce all documents regarding the accounts at issue and the account holder, other than communications with its legal department and documents discussing potential settlement.

4. Oppenheimer has represented that it has already produced a client activity report in excel format. If it has not already produced it, it will produce such document.

5. Order compliance date:

- **The parties should comply with this order by 03/24/2025**
○ Not applicable

ASSESSMENT OF FEES

6. Cost of prehearing conference:

- **If the parties settle this matter with no further hearings, the forum fees for this prehearing conference (or discovery-related motion decided without a prehearing conference) are assessed as follows:**

50% to Claimant(s), jointly and severally

50% to Respondent(s), jointly and severally

_____ % assessed to _____

_____ % assessed to _____

% assessed to

% assessed to

☐

Not applicable

ATTACHMENTS

Attachment Type	File Name	Description
Other	Weiner Addendum.pdf	Weiner Addendum