

EXHIBIT 17-A

Arbitrator's Order dated March 26, 2025



ORDER

Submitted By: Peter Ordower (On behalf of the arbitration panel)

Submitted Date: 03/26/2025 04:52:23 PM ET

Case ID & Parties:

FINRA Dispute Resolution Services

ORDER

Case Number: 24-02286

In the Matter of the Arbitration Between

Claimant(s)

Jordan T Weiner

Terri P Tepper

VS

Respondent(s)

Oppenheimer & Co., Inc.

PREHEARING CONFERENCE

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

☐ Yes

☒ **No**

ISSUES ADDRESSED

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

☒ **The following submissions have been addressed:**

Claimant's 2/20/25 Motion to Amend Statement of Claim

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:**

The Motion to Amend Statement of Claim is denied without prejudice. At the most recent hearing, Jordan Weiner agreed that he was not a proper complainant but intended to proceed as a party representative for claimant Terri P. Tepper. Therefore, any amended statement of claim should not name him as a party or seek an award for him. In addition, FINRA Rule 12401(b) provides that the maximum claim permitted for a single arbitrator hearing is \$100,000 exclusive of interest and expenses. If Terri Tepper wishes to proceed with a single arbitrator, any revised statement of claim should conform to that limit. In the event Terri Tepper wishes to proceed with a greater claim, she can make a claim in excess of \$100,000 exclusive of interest and expenses and proceed with a 3 person arbitration panel under the relevant rules.

In addition, at the last hearing, the arbitrator indicated he was no longer available for hearing April 30, and Claimant agreed to advise the panel if she was able to proceed with hearing on March 5, 7 or 12, 2025, which dates were acceptable to respondent. Claimant should promptly move to amend the statement of claim if desired and advise FINRA of acceptable hearing dates.

5. Order compliance date:

- ☒ **The parties should comply with this order by 04/03/2025**
- ☐ 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:**

100% to Claimant(s), jointly and severally

_____ % to Respondent(s), jointly and severally

_____ % assessed to _____

_____ % assessed to _____

_____ % assessed to _____

_____ % assessed to _____

- ☐ Not applicable

ATTACHMENTS

There are no attached documents.