The Power of OPPENHEIMER Thinking

Wealth Management | Capital Markets | Investment Banking

Collaborating for Success

Explore Oppenheimer's Professionals Alliance Group

Partnership, Expertise, and Integrity for Better Client Outcomes

The Professionals Alliance Group (PAG) is a collaborative platform that partners CPA's, attorneys, and trusted professionals with Oppenheimer financial advisors to deliver integrated, client-focused wealth management solutions through a shared revenue model.

According to Cerulli, a growing number of high-net-worth individuals are seeking comprehensive strategies that integrate tax optimization, legal structuring, business planning, and holistic wealth management solutions.[1]

Since its inception, Oppenheimer's shared revenue program has become a widely-used referral model for top-tier professionals.

PAG unites your expertise with Oppenheimer's full spectrum of wealth management, capital markets, and investment banking services—creating a powerful, integrated platform for client-focused collaboration.

Wealth management today demands more than just investment guidance. PAG enhances the client experience by bringing together a trusted network of specialists who deliver coordinated strategies across tax, legal, business, and wealth planning.

This is more than a partnership—it's a unified advisory experience designed to help support client goals.

The Professionals Alliance Group represents Oppenheimer's core values—collaboration, innovation, and an unwavering commitment to client service. We're proud to offer our PAG partners direct access to the resources, insights, and expertise that support Oppenheimer's approach to wealth management.

Jason Betley | Managing Director, Head of the Professionals Alliance Group

1 U.S. Retail Investor Advice Relationships 2023.

Your Program, Your Growth, Your Resources

Through PAG, partners are connected to the full spectrum of Oppenheimer's capabilities — helping them deliver personalized, well-rounded financial strategies to our shared clients.

Experienced Management

With nearly 300 PAG solicitors and managing nearly $3 billion in assets, we offer a well-established suite of services designed to support collaboration.

Distinguished Financial Advisor Network

PAG advisors are selected based on their experience with high-net-worth clients, ensuring that you partner with professionals who uphold a high standard of excellence.

Integrated Solutions

We provide additional services beyond traditional wealth management, integrating investment banking, capital markets, and tax-efficient investment strategies to address complex financial needs.

Professional Development & Insights

Our dedicated team provides ongoing professional development, CPE credit opportunities, and access to exclusive thought leadership that demonstrates *The Power of Oppenheimer Thinking*.

Comprehensive Wealth Management, Investment Banking and Capital Markets

Oppenheimer has been providing investors, businesses, and institutions with specialized financial services and investment solutions for more than 140 years. As a leading investment bank and full-service wealth management firm, Oppenheimer offers a broad range of capabilities designed to support clients in achieving their financial goals.

Investment Management and Advisory Services

Partners and their clients benefit from experienced guidance:

Research and Investment Management Team

- Provides due diligence and research on investment managers, facilitating access to a range of vetted investment strategies.
- Offers tailored investment solutions through the Unified Managed Account (UMA) program, which incorporates mutual funds, ETFs, and separately managed accounts, as well as through the Mutual Fund Wrap Portfolio Advisory Services (PAS) program.
- Performs rigorous research to identify which investment products may be appropriate within their market segments.

Alternative Investments Group[2]

- Helps clients access curated alternative investment solutions that may support diversification and risk management.
- Provides access to non-traditional investment strategies, including hedge funds, private placements, private equity, and private credit.

Oppenheimer Investment Advisers

- Focuses on disciplined, long-term fixed income investment strategies with an emphasis on risk management and principal protection.
- Offers individually managed portfolios with customization of cash flow, risk tolerance, and tax parameters.

Specialized Financial Services

In addition to traditional wealth management, Oppenheimer offers:

Financial Planning

- Builds personalized plans designed to support short- and long-term goals.
- Creates a structured, values-driven planning experience for clients that adapts over time.

Corporate Executive Services

- Develops strategies to help corporate executives navigate restricted and control stock.
- Provides customized solutions for tax-efficient wealth diversification.

Retirement Services

- Assists individuals and business owners in establishing and managing IRAs, 401(k)s, and non-qualified retirement plans.
- Provides plan design, investment selection, and performance monitoring[3] to support long-term retirement goals.

Oppenheimer Trust Company of Delaware

- Offers fiduciary services, trust and estate administration, and investment management.
- Presents tailored solutions to ensure asset protection, succession planning, and continuity of service.

Oppenheimer Life Agency, Ltd.

- Maintains relationships with over 80 leading insurance providers to offer a broad suite of financial protection solutions.
- Delivers sophisticated planning techniques to help clients manage risk and build long-term financial security.

Investment Banking

Supports clients through major transitions with:

- M&A advisory for business owners
- Succession and exit planning
- Capital raising for growth and liquidity

Capital Markets

Helps clients access tailored market solutions:

- Equity and fixed income offerings
- Customized financing strategies
- Liquidity and diversification tools

2 Alternative investments are available only to qualified investors and involve varying degrees of risk.

3 Performance monitoring is informational only and does not guarantee results.

Extensive Support and Resources

Client-Centric Alignment

An ethical and coordinated approach to client service:

- Service Fee Alignment: As part of a non-exclusive contractual agreement, PAG members have the opportunity to share fees generated through Oppenheimer's wealth advisory services.
- Full Transparency: No differential fees are charged to clients, and all agreements are fully disclosed—reinforcing the integrity and trust at the core of our partnerships.
- Compliance-Driven Framework: We adhere to strict regulatory and fiduciary standards to protect you and your clients.

Knowledge for Informed Advice

Direct access to perspectives and capabilities that elevate your offerings:

- A curated library of thought leadership, including white papers, podcasts, and market outlook reports.
- Timely investment and economic perspectives from our top strategists and analysts, for navigating financial markets.[4]
- Capital markets and investment banking insights, which support strategies for addressing complex client needs.

Tools to Deepen Relationships

Programs designed to support practice development:

- Strategic partnership support to seamlessly integrate wealth management services into your existing client offerings.
- Exclusive marketing and business development tools designed to support client engagement and outreach.
- Peer-to-peer learning opportunities, including professional summits and best practice exchanges with experienced advisors.

4 These perspectives are for informational purposes only and do not guarantee performance results.

Let's Talk

Contact us for more information about how a PAG partnership may support your practice and clients. When you're ready to connect, Oppenheimer's PAG team can guide you through the process.

PAG@opco.com

Jason Betley
Managing Director
(424) 362-1012
jason.betley@opco.com

Molly Rochlin
Director
(202) 261-0743
molly.rochlin@opco.com

Oppenheimer & Co. Inc.
85 Broad Street
New York, NY 10004

oppenheimer.com