

Management Committee

Douglas T. Siegel is Managing Director and Chief Compliance Officer (CCO) for the Oppenheimer Companies. As CCO, Mr. Siegel sets the Compliance strategy and manages the Firm's regulatory and reputational risk. He serves as a member of Oppenheimer's Management, Risk Management, New Product, Surveillance Oversight and Regulatory Review Committees.



Douglas T. Siegel
Managing Director
Chief Compliance Officer

Mr. Siegel joined the Company in February, 2016. Prior to joining Oppenheimer, he spent 17 years at UBS, most recently as Managing Director and Chief Compliance Officer for UBS Wealth Management Americas for six years. Prior to UBS, he spent 13 years at Smith Barney and predecessors in various compliance roles. He is a frequent speaker at SIFMA, FINRA and SEC events.

Mr. Siegel graduated from Syracuse University in 1985 with a B.S. in Finance.