

Lowenthal Robert S
Form 5
February 01, 2018

FORM 5

UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

Check this box if
no longer subject
to Section 16.
Form 4 or Form
5 obligations
may continue.
See Instruction
1(b).
Form 3 Holdings
Reported
Form 4
Transactions
Reported

**ANNUAL STATEMENT OF CHANGES IN BENEFICIAL
OWNERSHIP OF SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section
30(h) of the Investment Company Act of 1940

OMB APPROVAL

OMB
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1. Name and Address of Reporting Person *
Lowenthal Robert S

(Last) (First) (Middle)

85 BROAD STREET

(Street)

NEW YORK, NY 10004

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
OPPENHEIMER HOLDINGS INC
[OPY]

3. Statement of Issuer's Fiscal Year Ended
(Month/Day/Year)
12/31/2017

4. If Amendment, Date Original
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

☒ Director ☐ 10% Owner
☐ Officer (give title ☐ Other (specify
below) below)

6. Individual or Joint/Group Reporting

(check applicable line)

☒ Form Filed by One Reporting Person
☐ Form Filed by More than One Reporting
Person

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned at end of Issuer's Fiscal Year (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Class A non-voting common stock	02/24/2017	Â	P(1)	22.91 A	\$ 16.75	3,542 I	Held in the Oppenheimer & Co. Inc. 401K Plan
Class A non-voting common stock	05/26/2017	Â	P(1)	24.49 A	\$ 15.75	3,566 I	Held in the Oppenheimer & Co. Inc. 401K Plan

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Class A non-voting common stock	08/25/2017	Â	P ⁽¹⁾	23.96	A	\$ 16.45	3,590	I	Held in the Oppenheimer & Co. Inc. 401K Plan
Class A non-voting common stock	11/24/2017	Â	P ⁽¹⁾	14.68	A	\$ 27.4	3,605	I	Held in the Oppenheimer & Co. Inc. 401K Plan
Class A non-voting common stock	02/22/2017	Â	J	1,546	A	\$ ⁽²⁾	36,148	D	Â

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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(9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
(e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)
					(A) (D)	Date Exercisable Expiration Date	Title Amount or Number of Shares
Restricted Class A non-voting common stock	Â	02/22/2017	Â	J	Â 3,500	Â ⁽²⁾ Â ⁽²⁾	Class A non-voting common stock 1,546

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Lowenthal Robert S 85 BROAD STREET NEW YORK, NY 10004	Â X	Â	Â	Â

Signatures

R.S. Lowenthal

02/01/2018

**Signature of
Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, see Instruction 4(b)(v).

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

(1) The transaction describes an automatic dividend reinvestment program in the Reporting Owner's Oppenheimer & Co. Inc. 401k Plan.

(2) The transaction describes the vesting of 3,500 shares of Restricted Class A non-voting common stock which were awarded on February 23, 2012 of which 1,546 Class A non-voting common shares were converted and 1,954 shares were forfeited.

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