

OPPENHEIMER HOLDINGS INC

Form 3

December 19, 2013

**FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION**

Washington, D.C. 20549

OMB APPROVAL

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**INITIAL STATEMENT OF 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

(Print or Type Responses)

<p>1. Name and Address of Reporting Person *</p> <p>Â Lowenthal Robert S</p> <p>(Last) (First) (Middle)</p> <p>85 BROAD STREET</p> <p>(Street)</p> <p>NEW YORK,Â NYÂ 10004</p> <p>(City) (State) (Zip)</p>	<p>2. Date of Event Requiring Statement</p> <p>(Month/Day/Year)</p> <p>05/13/2013</p>	<p>3. Issuer Name <b>and</b> Ticker or Trading Symbol</p> <p>OPPENHEIMER HOLDINGS INC [OPY]</p>	<p>4. Relationship of Reporting Person(s) to Issuer</p> <p>(Check all applicable)</p> <p><input checked="" type="checkbox"/> Director <input type="checkbox"/> 10% Owner</p> <p><input type="checkbox"/> Officer <input type="checkbox"/> Other</p> <p>(give title below) (specify below)</p>	<p>5. If Amendment, Date Original Filed(Month/Day/Year)</p>	<p>6. Individual or Joint/Group Filing(Check Applicable Line)</p> <p><input checked="" type="checkbox"/> Form filed by One Reporting Person</p> <p><input type="checkbox"/> Form filed by More than One Reporting Person</p>
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**Table I - Non-Derivative Securities Beneficially Owned**

1. Title of Security (Instr. 4)	2. Amount of Securities Beneficially Owned (Instr. 4)	3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	4. Nature of Indirect Beneficial Ownership (Instr. 5)
Class A non-voting common stock	24,221	D	Â
Class A non-voting common stock	174,000	I	Beneficiary R.S. Lowenthal Trust
Class A non-voting common stock	150,000	I	Beneficiary A.R. Lowenthal Trust
Class A non-voting common stock	3,150	I	Participant Oppenheimer 401K Plan
Class B voting common stock	140	D	Â

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

SEC 1473 (7-02)

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**Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**

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1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date <small>(Month/Day/Year)</small>		3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)	4. Conversion or Exercise Price of Derivative Security	5. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		
Restricted Class A non-voting common stock	Â (1)	Â (1)	Class A non-voting common stock	7,500 \$ (1)	D	Â
Restricted Class A non-voting common stock	Â (2)	Â (2)	Class A non-voting common stock	7,500 \$ (2)	D	Â
Restricted Class A non-voting common stock	Â (3)	Â (3)	Class A non-voting common stock	3,500 \$ (3)	D	Â
Restricted Class A non-voting common stock	Â (4)	Â (4)	Class A non-voting common stock	8,500 \$ (4)	D	Â

## 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 12/19/2013

\*\*Signature of  
Reporting Person

Date

## Explanation of Responses:

- \* If the form is filed by more than one reporting person, see Instruction 5(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 the award of Restricted Class A non-voting common stock on 2/25/09 that vests on 2/24/14, subject to the awardee being continuously employed until such date.
  - (2) The transaction describes the award of Restricted Class A non-voting common stock on 1/27/11 that vests on 2/10/16, subject to the awardee being continuously employed until such date.
  - (3) The transaction describes the award of Restricted Class A non-voting common stock on 2/23/12 that vests on 2/22/17, subject to the awardee being continuously employed until such date.

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- (4) The transaction describes the award of Restricted Class A non-voting common stock on 2/25/13 that vests on 2/24/18, subject to the awardee being continuously employed until such date.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.