

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)

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

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.