

# Code of Ethics Questionnaire

By submitting this form, I attest that the information provided is accurate and complete.

OAM Employee / FA:

## Oppenheimer/Internal Account(s) (Click to add row)

Do you or an immediate family member have or control any Oppenheimer accounts?  Yes  No

Account Number <small>(A12-1234567)</small>	Account Holder	Broker Name
<input type="text" value="G31-1614304"/>	<input type="text" value="Gregg D. Templeton"/>	<input type="text" value="Gregg D. Templeton"/>
<input type="text" value="G87-3109750"/>	<input type="text" value="Gregg D. Templeton - ROTH IRA"/>	<input type="text" value="Gregg D. Templeton"/>
<input type="text" value="G87-3109925"/>	<input type="text" value="Gregg D. Templeton - IRA Rollover"/>	<input type="text" value="Gregg D. Templeton"/>

## External Account(s)

Do you or an immediate family member have or control any external/outside brokerage accounts?  Yes  No

## Securities

Do you or an immediate family member hold any other securities including private placements and hedge funds, in addition to those securities held in your Opco Brokerage Account(s) and/or External Brokerage Account(s), listed previously?  Yes  No

Please specify:

OneScreen - Prior to joining Oppenheimer, I was independently involved with Onescreen. I referred this company into the Oppenheimer Investment Banking department two times in the past few years through Tara Chenoweth and Oppenheimer was paid a \$100,000 engagement fee from Onescreen, however no deal was ever completed. Oppenheimer was attempting to raise \$10 million dollars for the company, however market conditions were not favorable. The company is currently speaking with Todd Simon from Investment Banking for a third time. Todd has visited the company and has been in contact with the CEO for a possible upcoming transaction.

## Activities

Are you a director or an officer of a public or private company?  Yes  No

Submit