



Attach Business Card and Stationery
ATTACHED ON THE LAST PAGE

**Financial Advisor Questionnaire
Branch Compliance Examination**

FINANCIAL ADVISOR NAME: GREGG TEMPLETON FA#: A3E
BRANCH 200 PARK AVENUE BRANCH # 631
BRANCH MANAGER DAVID TUFTS DATE 1/9/15

PLEASE ANSWER THE FOLLOWING QUESTIONS AND PROVIDE THE REQUESTED INFORMATION ON THE FORM TO YOUR BRANCH MANAGEMENT AS SOON AS POSSIBLE. PLEASE ATTACH YOUR BUSINESS CARD AND A SAMPLE OF ANY PERSONALIZED BUSINESS STATIONERY YOU ARE USING. (AS NECESSARY, PLEASE USE REVERSE SIDE OF THIS FORM TO PROVIDE ADDITIONAL INFORMATION.)

- 1. Approximate Number of "Household" accounts serviced: 125
- 2. Approximate number of years you have been registered: 21
- 3. Are you properly registered in all states where you are prospecting new clients and where your current clients reside?
 Yes No
- 4. (a) Do you receive fee-based income for managed accounts? Yes No
(b) Are you S65 or S66 (Investment Advisory License) registered? Yes No
(c) Are you Series 3 registered? Yes No
(d) Do you conduct Commodity Business? Yes No
(e) If you conduct Commodity business are you on a recorded line? Yes No
- 5. (a) Are you involved in any Outside Business Activities (e.g., director, officer, partnerships, employment, charitable organizations)? Yes No

If yes, please list each activity and disclose all whether or not each has been previously reported: ALL DISCLOSED FOR YEARS
JEWISH CHILDRENS MUSEUM - YOUNG LEADERSHIP COMMITTEE - FINRA - ARBITRATOR -
INACTIVE - ADAPTIVE MEDIA (FORMERLY ONESCREEN) CONSULTANT - ASPCA - ANIMAL FOSTERING
PROGRAM

- (b) Do you have outside Investments (investments not through Oppenheimer & Co. Inc., or Oppenheimer Asset Management/OAM to include real estate whether passive or active)? Yes No
- If yes, please provide details and disclose all whether or not they were previously reported:
REAL ESTATE - PURCHASED APARTMENT - PRIMARY RESIDENCE

- 6. Do you maintain a brokerage account outside the Firm? Yes No
- If yes, please indicate if the account is:
- (a) a personal account in your name? Yes No
 - (b) a joint account with anyone? Yes No
 - (c) an account where you exercise discretion? Yes No

If yes, please list account number(s) and firm name:

