

NAME: GREGG TEMPLETON

Please list all of your Outside Business Activities including Officer or Directorships, Partnerships, Employment and Charitable Organizations.

JEWISH CHILDRENS MUSEUM - YOUNG LEADERSHIP COMMITTEE
ASPCA - ANIMAL FOSTERING PROGRAM - ONE SCREEN NOW ADAPTIVE
MEDIA - CONSULTANT AND REFERRED INTO INVESTMENT BANKING IN 2008, 2010
AND 2013. ENGAGEMENT LETTER SIGNED BY OPPENHEIMER ON JULY 25, 2008.
NYSE NOW FINRA - ARBITRATOR - INACTIVE

Please list all of your Outside Investments including Real Estate whether active or passive (do not include investments through OPCO or OAM).

ONESCREEN NOW ADAPTIVE MEDIA - STOCK HAS BEEN ON DEPOSIT AT
OPPENHEIMER FOR YEARS. I WILL REDEPOSIT ONCE IT UPLISTS TO THE
NASDAQ SINCE AS PER FIRM POLICY AS TO NOT ACCEPT PENNY STOCKS FOR
MYSELF AND MY CLIENTS. REAL ESTATE - PURCHASED MY PRIMARY
RESIDENCE AT 300 EAST 59TH STREET Apt: 3605

Please list all of your Outside Brokerage Accounts (account title, account number and where it is held) including all accounts over which you have control or beneficial ownership.

NONE

If not disclosed above, please list any accounts/persons/or entities for which you act as Guardian, Trustee, Executor/Executrix or have Full or Limited Power of Attorney.

NONE

If you work from outside the office for more than 30 days each year, please indicate that location.

NO

Please list any of your clients (account name and number) employed by another brokerage firm, bank or insurance company that is a member of FINRA in accordance with industry rules.

NONE

Templeton, Gregg

From: Rieling, George T
Sent: Monday, October 06, 2014 2:13 PM
To: Alario, James; Alessio, Vinay; Birch, Aileen; Blank, Annette; Bolte, Ken; Bravmann, Lou; Breslauer, Kimberly; Brooks, Charmaine; Caione, Artie; Cohen, Matthew; Davis, Paul; DeRenzi, Andrew; Diamond, Len; Donaldson, John; Dube, Brian; Eckhaus, Alon; Fine, Marc; Fitzmaurice, Kimberly; Forster, Craig; Forsythe, Jim; Friedman, Cobi; Gallagher, Stacey; Geohagen, Ernest; Giannone, Matthew; Greenspan, Neil; Groves, Alan; Haber, Sanford; Hammonds, Reginald; Heinberg, Marshall; Hernandez, Flor; Jeffrey, Robyn; Kaufthal, Uri; Kelley, Brian; Khorassani, Michael; King, Justin; Krakowiak, Robert; Kyrukhina, Svitlana; Lanzman, Alexander; Larit, Keith; Lasko, Nicholas; Lazos, Christopher; London, Stanley; Marchassalla, Michael; Markase, Susan; Mayta, Peter; McElroy, Neal; McFeely, Thomas; Mclain, James; Medakovich, Emilia; Mohan, Peter; Montaldo, Richard; Monticciolo, Robert; Mormile, John; Muldowney, Peter; Nadler, Jonathan; Nierenberg, Jon; Pallitto, Michael; Parisi, JoAnn; Petito, Rocco; Petrognani, Marc; Picataggio, Jim; Pichardo, Wilson; Pindiprolu, Kumar; Platnico, Matthew; Platt, Craig; Primerano, Joe; Reichberg, Brian; Reilly, Frank; Rieling, George T; Roden, Charles; Rosen, Guy; Ross, Harvey M; Sanders, Stanley; Schenck Schumacher, Kristyn; Scherer, Joshua; Scrobe, Steve; Seremetis, Stephen; Shenkman, Jonathan; Skolnick, William; Stephens, Shakiba; Tagatac, Michael; Taub, Arnold; Templeton, Gregg; Torre, Michael; Tufts, David; Van Roon, Dirk; VanCott, Dustin; Wagrodzki, Janice; Yamazaki, Masahiro
Subject: FW: Pre Audit Questionnaire
Attachments: preaudit questionnaire.docx
Importance: High

REMINDER : YOUR FORM WAS DUE LAST WEEK!!!

In an effort to prepare for our next annual audit, please fill out and return the attached questionnaire to my attention by September 30. The questionnaire should be filled out by all employees whether registered or not. If you are not a Financial Advisor and a question is therefore not applicable, write "N/A" in the space provided. If you are a Financial Advisor and the answer to a particular question is "None", please write "None" in the space provided.

I realize these questions have been asked and answered before but it is imperative that you answer all questions completely regardless of whether the item has been previously disclosed.

If you have any questions don't hesitate to call.

Ted Rieling

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