

34) b. Do you maintain accounts of government entities? Yes No

If yes, did you submit the Government Entity Disclosure Form listing the government entities account numbers to the Compliance Department? Yes No

35) Are you aware of Firm policy that requires you to immediately report any suspicious activity to the Firm AML Officer? Yes No

36) a. Have you maintained the information on your U4 current and accurate (i.e. address changes, reportable outside business activities and other applicable disclosures)? Yes No

If not, please provide details and proceed to make the applicable disclosures on your U4 and submit to the Registration in the Compliance Department:

I HAVE DISCLOSED OUTSIDE BUSINESS ACTIVITIES WHICH I UNDERSTOOD TO BE APPROVED AND WHEN I PULLED UP MY BROKER CHECK-UP, THEY DID NOT APPEAR IN THE AFFILIATIONS SECTION AS I WOULD HAVE EXPECTED COMPLIANCE TO

36) b. Are you aware that you must be registered in any State prior to conducting business which includes contacting prospects and/or clients in any manner in that State? Yes No

37) a. Are you aware of and in compliance with the Firm's Code of Conduct and Business Ethics for Directors, Officers and Employees as posted on the Firm's intranet site? Yes No

37) b. Are you aware of Firm policy that requires you to report any material non-public information to the Control Room of the Compliance Department? Yes No

38) Are you aware of and in compliance with Firm policies and procedures issued through the Firm Procedural Memorandums (FPM) previously disseminated? Yes No

39) Additional Comments:

list them since I RECEIVED APPROVAL FROM MY BRANCH COMPLIANCE OFFICER AND/OR SOMEONE FROM MANAGEMENT. PLEASE FOLLOW UP AND ADVISE ME ON THIS.

The answers to the preceding questions are correct to the best of my current knowledge and information.

Gregg D. Templeton
Signature

1-29-12
Date

OPPENHEIMER

Gregg D. Templeton
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