

VIA CERTIFIED MAIL
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AND FIRST CLASS MAIL

Initial Request

Certified Article Number

9314 8699 0430 0016 9224 99

SENDERS RECORD

September 24, 2015

Mr. Gregg D. Templeton
300 East 59th Street
Apt 3605
New York, NY 10022

Re: **20150468114**
Form U5 filing from Oppenheimer & Co. Inc.

Dear Mr. Templeton:

This office is conducting an inquiry into a Form U5 filing from Oppenheimer & Co. Inc., which reported that your employment was terminated after an internal review concluded that you engaged in compensated consulting services, including capital raising, for a company without proper disclosure to and without proper approvals from the Firm.

The purpose of this inquiry is to determine whether violations of the federal securities laws or FINRA, NASD, NYSE, or MSRB rules have occurred.

In connection with our investigation, and pursuant to FINRA Rule 8210, please provide the following documents and information to me at the above cited address no later than **October 8, 2015**:

1. Signed statement addressed to FINRA describing the events and conduct that lead to your termination;
2. Did you participate in any outside business activities that you did not disclose to the Firm? If so, describe in detail including the following:
 - a. The name and general business plan for each company/venture
 - b. Your responsibilities for this entity and level of involvement
 - c. Whether you were compensated and, if so, in what amounts?
 - d. Why did you fail to disclose this business to the Firm?
 - e. Did you solicit any Firm customers to invest in this business? If so, provide the names of the customers, the date and amount of their investment, and the current status of their investment for each individual.
3. A copy of your tax returns for the tax years 2012, 2013, and 2014.

4. A description of your relationship with Roy Praver, Tim Reid, Emile Bedriomo, Justin Smith, James Batmasian, Eric Brody, and Scott Fink.
5. Did you personally invest in any outside entities including, but not limited to Onescreen, without the Firm's knowledge or authorization? If so, describe in detail including the name of the entity, the date and amount of your investment, and the current status of the investment for each.
6. All documents in your possession referring or relating to these matters.
7. Are there any complaints regarding your employment at the Firm, which are open or were resolved within the preceding three years of the date of the current reportable event? If so, please provide additional documentation.

Under FINRA Rule 8210, you are obligated to respond to this request fully, promptly, and without qualification. You are also obligated to supplement or correct any response that you later learn to have been incomplete or inaccurate. If you withhold any responsive document or information, you must specifically identify what you are withholding and state the basis for your doing so. Any failure on your part to satisfy these obligations could expose you to sanctions, including a permanent bar from the securities industry.

As a matter of policy, FINRA conducts its investigations on a non-public basis. Nonetheless FINRA may sometimes provide access to its investigative files to other regulatory and law enforcement authorities, and, if subpoenaed, to litigants in civil actions. In addition, pursuant to FINRA's Code of Procedure, FINRA is required to produce documents and transcripts to respondents during discovery. We will not (1) entertain requests for confidential treatment of any information or documents you provide in response to this request; (2) give you notice of any subpoena or access request we receive that encompasses any such information or documents; or (3) undertake to return documents when this investigation is completed.

If you are not currently associated with a FINRA firm, please be advised that you are responsible for notifying FINRA in writing of any home or mailing address change. Your address change should be directed to: CRD Address Changes, CRD P.O. Box 9495, Gaithersburg, MD 20898-9495.

Since this is a preliminary inquiry, it does not require reporting under Form U4, Question 14G, regarding notice of investigations.

This inquiry should not be construed as an indication that FINRA or its staff has determined that any violations of federal securities laws or FINRA, NASD, NYSE, or MSRB rules have occurred.

Please contact me at the telephone number cited above if you have any questions.

Very truly yours,

Oliver P. Kamp