

**Oppenheimer & Co. Inc.**  
**Financial Advisor Questionnaire**  
**Branch Compliance Examination**

Attach Business Card and Stationary

FA NAME GREGG D. TEMPLETON FA # A3E  
 BRANCH 200 PARK AVENUE BRANCH # G31  
 BRANCH MANAGER DAVID TUFTS DATE 1/31/14

**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 STATIONARY YOU ARE USING (AS NECESSARY, PLEASE USE REVERSE SIDE FOR ADDITIONAL INFORMATION/SPACE).**

- 1) Approximate Number of "Household" accounts serviced: 125
- 2) Approximate number of years you have been registered: 20
- 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
- 4) b. Are you S65 or S66 (Investment Advisory License) registered?  Yes  No
- 5) a. Are you involved in any Outside Business Activities (i.e. director, officer, partnerships, employment, charitable organizations )?  Yes  No

If yes, please list each activity (Disclose all whether or not previously reported):

JEWISH CHILDREN'S MUSEUM - YOUNG LEADERSHIP COMMITTEE  
FINRA - ARBITRATOR - INACTIVE - ONESCREEN - ASPCA - ANIMAL FOSTERING

- 5) b. 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 (Disclose all whether or not 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: \_\_\_\_\_

- 7) a. Are you acting in the capacity of trustee and/or co-trustee for any person and/or entity?  Yes  No

7) b. If yes, does the person or entity maintain a brokerage account at the Firm or elsewhere? ( ) Yes ( ) No

7) c. If yes, to a or b above please provide details: \_\_\_\_\_  
\_\_\_\_\_

7) d. Do you have limited and/or full Power of Attorney for anyone/entities investment accounts at the Firm or elsewhere? ( ) Yes (X) No

If yes, please provide details including account numbers, if applicable: \_\_\_\_\_  
\_\_\_\_\_

7) e. Do you have limited and/or full Power of Attorney for immediate family member's investment accounts at the Firm or elsewhere? ( ) Yes (X) No

If yes, please provide details including account numbers, if applicable: \_\_\_\_\_  
\_\_\_\_\_

8) Other than immediate family members are you acting and/or have you acted in the past 12 months as a Personal Representative, Executor/Executrix and/or Fiduciary for any individual/entity whether or not a client of the Firm. ( ) Yes (X) No

If yes, please provide details: \_\_\_\_\_  
\_\_\_\_\_

9) Other than personal accounts are there any other accounts at this Firm or elsewhere that you have a financial interest? ( ) Yes (X) No

If yes, please provide details: \_\_\_\_\_  
\_\_\_\_\_

10) Have you sold or recommended any products **not** sponsored/marketed by the Firm during the previous 12 months (i.e. tax shelters, private placements, LP's, insurance, related products)? ( ) Yes (X) No

If yes, please describe all details \_\_\_\_\_  
\_\_\_\_\_

11) Have you any "soft dollar" arrangements with clients? OAM Policies and Procedures, Chapter 13 - Soft Dollars? ( ) Yes (X) No

If yes, please provide all details: \_\_\_\_\_  
\_\_\_\_\_

12) Have you given or received gifts (including cash) exceeding \$100 to or from customers or employees of other brokerage firms? ( ) Yes (X) No

If yes, please note the details, including who, when and the circumstances involved: \_\_\_\_\_  
\_\_\_\_\_

13) Have you made loans to or borrowed from any customer? ( ) Yes  No

If yes, please explain: \_\_\_\_\_

14) a. Have you solicited in the past non-Nasdaq securities traded over-the-counter at \$5 or less i.e. on the OTC Bulletin Board or Pink sheets or on a non-U.S. exchange, otherwise commonly referred to as "Penny Stocks" ( ) Yes  No

14) b. Have you solicited/recommended any non-Nasdaq security (i.e. OTC Bulletin Board, Pink sheets or on a non-U.S. exchange) traded at \$5.00 or more in the previous 12 months ( ) Yes  No

If yes, please provide the following details;

Security/Symbol:	Price:	# of shares:	Month Solicited
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14) c. Are you aware of Firm policy, specifically, Firm Procedural Memorandum (FPM) # 97 - Accepting Certificates and Sell Orders of \$2 Penny Stocks  Yes ( ) No

15) Do you send or furnish any marketing information to clients or prospects other than Firm-prepared materials? ( ) Yes  No

If Yes, please provide all details: \_\_\_\_\_

16) Are you aware of Firm policy requiring PIN #s for telemarketing solicitations? (Oppenheimer Compliance Manual Policies and Procedures, Chapter XXX1 (A) Cold Calling)  Yes ( ) No

17) Are you aware of Firm policy for phoned-in orders that require the completion of order tickets that include the date and time including seconds for all phases of order processing (i.e. the time at which an order is received from the client, called in to the Trading Desk and the time of execution).  Yes ( ) No

18) Have any of your clients reneged on any of their transactions in the last year? ( ) Yes  No  
If yes, please list account numbers and clients' names:

\_\_\_\_\_  
\_\_\_\_\_

19) a. Have you been the subject of any written or verbal customer complaints in the past year? ( ) Yes  No

If yes, please list complaint and customer name(s) \_\_\_\_\_

b. Are you aware of Firm policy that requires you to immediately notify/report any written or verbal complaint to the Branch Office Manager?  Yes ( ) No

20) Do you receive income from a source, other than the Firm, for financial advice rendered? ( ) Yes  No

If yes, please provide details: \_\_\_\_\_

- 21) Are any of your clients employed by another broker/dealer including a broker dealer that is a division of an insurance company, bank or of an Exchange (NYSE 407)  Yes  No

If yes, please provide the details:

<u>Account Name</u>	<u>Account #</u>	<u>Employer</u>	<u>Client's Position</u>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

- 22) Do you have any clients that maintain a position on margin in the securities of a publicly traded company where the client is an officer or director?  Yes  No

If yes, please describe: \_\_\_\_\_

\_\_\_\_\_

- 23) Have you or your sales assistant:

- Provided branch management with a copy of all outgoing and incoming communications, including computer generated material not approved by the Firm (excluding e-mails, which are systematically provided to management for review)?  Yes  No

- 24) Have you or your sales assistant:

- Provided branch management with a copy of all outgoing and incoming facsimile communications for review and approval prior to distribution?  Yes  No
- Do you have your own fax machine?  Yes  No
- If yes, is it approved by the Branch Office Manager?  Yes  No

- 25) a. Do you provide clients with profit and loss statements or other correspondence of a statistical nature?

Yes  No

- 25) b. If yes, is the appropriate disclaimer included?

Yes  No

- 26) Do You:

- Hold lectures?  Yes  No
- Hold seminars?  Yes  No
- Provide market information for TV or radio?  Yes  No
- Write newspaper or magazine articles?  Yes  No
- Write market letters or investment letters?  Yes  No
- Have a Firm approved Financial Advisor Website?  Yes  No
- Do you maintain an independent website for Business purposes?  Yes  No
- Do you have a personal website other than "50 below" for Oppenheimer & Co. Inc. and/or investments related purposes?  Yes  No

- 27) Other than your Firm provided computer, Do you use a non-Firm issued personal computer/laptop in your office?  Yes  No
- Do you have external Internet access/modem in your office?  Yes  No
- Do you use non- Firm e-mail services for Firm business in any way?  Yes  No

28) a. Are you aware of Firm policy specifically Electronic Communications that prohibits Employees from participating in a Chat room, use of Bulletin Boards and Blogs relating to Oppenheimer & Co. Inc. and/or investments related purposes.  Yes ( ) No

28) b. Other than information on your Business Card do you reference, disclose or describe your Financial Advisor role on any social websites such as LinkedIn, FaceBook etc?  Yes ( ) No

If yes, please provide brief detail below: FACEBOOK AND LINKEDIN  
- NOT USED FOR MARKETING NOR COMMUNICATION

29) (a) Do you have a BMail account  Yes ( ) No

(b) If yes, what is your Bloomberg Mail Login Name? GTEMPLETON I

30) (a) Do you work from a location (i.e. your home, holiday residence, or any other office location, etc.) other than your branch office for a period of 30 days or more (does not require that any of the days be consecutive) in a calendar year?. ( ) Yes  No

If yes, please indicate the location below:

Location Address: \_\_\_\_\_

(b) Is this office location related/connected to or situated in a non-affiliated Broker Dealer, Investment Advisor or other financial institution? ( ) Yes ( ) No

If yes, please indicate the business name and address below (if not the address provided above):

Business Name and Address: \_\_\_\_\_  
\_\_\_\_\_

31) Other than managed accounts, do you have any accounts over which a third party exercises discretion (if none, indicate none): NONE (NONE)

**Do not include ALPHA or other Advisory/Managed accounts**

<u>Account Number</u>	<u>Account Name</u>	<u>Account Number</u>	<u>Account Name</u>
_____	_____	_____	_____
_____	_____	_____	_____

32) Do you offer Structured Products (SP)? ( ) Yes  No  
If yes:

(a) Did you complete the required SP Continuing Education training? ( ) Yes ( ) No

(b) Indicate below, clients approved for Structured Products and which SP approved for each client listed:

\_\_\_\_\_  
\_\_\_\_\_

33) a. Are you aware of Firm policy to fully disclose all material facts and events for all primary and secondary municipal security transactions whether solicited or unsolicited?  Yes ( ) No

33) b. Are you aware of Firm policy requiring the delivery of a hard copy of the official statement to a client that requests it within one business day of the request and the Firm requirement to access the "EMMA-Official Statements" Link to process such request on the day that it is received?  Yes ( ) No

- 34) Have you made an individual political contribution, a contribution to a State/Local Political Party or PACS and/or contribution to a Charitable organization at the request of a Government Official on or after March 14, 2011?  Yes  No
- If yes, did you report the contribution to the Compliance Department?  Yes  No
- 35) a. Have you solicited business from Government Entities to include state universities?  Yes  No
- If yes, did you receive the prior written approval from the Compliance department by completing and submitting the "Request For Approval of Solicitation Activities" form?  Yes  No
- 35) 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
- 36) Are you aware of Firm policy that requires you to immediately report any suspicious activity to the Firm AML Officer?
- 37) 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
- 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:
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- 37) 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
- 38) Have you had any liens, judgements?  Yes  No
- If yes, please describe: \_\_\_\_\_
- \_\_\_\_\_
- 39) 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
- 39) 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
- 40) Are you aware of Firm's Identity Theft Detection/Loss Prevention Policy (FPM) 138?  Yes  No
- 41) Are you aware of and in compliance with Firm policies and procedures issued through the Firm Procedural Memorandums (FPM) previously disseminated?  Yes  No
- 42) (a) What are the top 5 products sold by you during the past year?
- EQUITIES - BONDS - OPTIONS - UITS
- \_\_\_\_\_
- \_\_\_\_\_

(b) Please describe your approach for expanding your client base and business:

NETWORKING AND REFERRALS

ADDITIONAL COMMENTS:

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

*GD*

Signature

1/31/14

Date

 **PPENHEIMER**

Gregg D. Templeton  
Senior Director - Investments

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Transacts Business on all Principal Exchanges

## Petito, Rocco

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**Subject:** Branch Audit Questionnaires 2014  
**Attachments:** FA Questionnaire.doc; Sales Assistant Questionnaire.doc

Branch Audit Questionnaires

It is that time of year again for our Branch Audit to be conducted. By now you should have received hard copies on your desk. If you did not, please print the attached questionnaire that applies to you. All audit questionnaires need to be returned to Julia Weiss, in Operations **as soon as possible** but **no later than 2/7/2014**. Also, please be sure to attach your business card, as well as a sample of any personalized business stationary you are currently using to the form.

Thank you