### Edgar Filing: OPPENHEIMER HOLDINGS INC - Form 3

OPPENHEIMER HOLDINGS INC Form 3 May 13, 2016 FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 OMB APPROVAL OMB Number: 3235-0104

### INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

#### (Print or Type Responses)

1. Name and A Person <u>*</u> BEHRE		porting	<ol> <li>Date of Event Re Statement</li> <li>(Month/Day/Year)</li> </ol>	· • • • • • • • • • • • • • • • • • • •	3. Issuer Name and Ticker or Trading Symbol OPPENHEIMER HOLDINGS INC [OPY]			
(Last)	(First)	(Middle)	05/09/2016		4. Relationship of Reporting Person(s) to Issuer		5. If Amendment, Date Original Filed(Month/Day/Year)	
33 EAST 70	OTH STRE	ET						
	(Street)			(Check	(Check all applicable)		6. Individual or Joint/Group	
NEW YOR	K, NYÂ	10021		X_Director10% Owner OfficerOtherX_form filed by One Reporti (give title below) (specify below)X_form filed by More than O Form filed by More than O Reporting Person		heck Applicable Line) h filed by One Reporting filed by More than One		
(City)	(State)	(Zip)	Tab	le I - Non-Derivat	ive Securitie	1 0		
1.Title of Secu (Instr. 4) Reminder: Rep owned directly	port on a separ		2. Ai	mount of Securities eficially Owned r. 4)	3.	4. Nature of Ind Ownership (Instr. 5)	-	
	Perso inforr requi curre	ons who res nation conta red to respo ntly valid Ol	pond to the collect ained in this form a ond unless the form MB control numbe	are not n displays a	warrants ant	one convertible	a compities)	
	i able 11 - De	IIvalive Secu	Thes beneficiary O	when (e.g., puts, cans,	warrants, opti	ons, convertion	e securities)	
1. Title of Der (Instr. 4)	ivative Securi	Expi	ration Date n/Day/Year)	3. Title and Amount o Securities Underlying Derivative Security (Instr. 4)	Conversio or Exercis Price of	e Form of Derivative	6. Nature of Indirect Beneficial Ownership (Instr. 5)	
			<b>E</b>		Derivative	Security:		

Security

Amount or

Number of

Shares

Direct (D)

or Indirect

(Instr. 5)

(I)

Date

Exercisable

Expiration

Title

Date

January 31,

2005

0.5

Expires:

response...

Estimated average burden hours per

# **Reporting Owners**

Reporting Owner Name / Add	ress	Relationships				
L O	Director	10% Owner	Officer	Other		
BEHRENS EVAN 33 EAST 70TH STREET NEW YORK, NY 1002		Â	Â	Â		
Signatures						
/s/ Evan Behrens	05/13/2016					
<b>**</b> Signature of Reporting Person	Date					

## **Explanation of Responses:**

No securities are beneficially owned

\* If the form is filed by more than one reporting person, see Instruction 5(b)(v).

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.