

LOWENTHAL ALBERT G  
Form 5  
February 01, 2019

# FORM 5

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
**Washington, D.C. 20549**

OMB APPROVAL

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Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).  
Form 3 Holdings Reported Form 4 Transactions Reported

**ANNUAL STATEMENT OF CHANGES IN 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

|   |         |          |  |   |
|---|---------|----------|--|---|
| 1. Name and Address of Reporting Person * |         |          | 2. Issuer Name <b>and</b> Ticker or Trading Symbol           | 5. Relationship of Reporting Person(s) to Issuer  |
| LOWENTHAL ALBERT G                        |         |          | OPPENHEIMER HOLDINGS INC<br>[OPY]                            | (Check all applicable)  |
| (Last)                                    | (First) | (Middle) | 3. Statement for Issuer's Fiscal Year Ended (Month/Day/Year) | <input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> 10% Owner<br><input checked="" type="checkbox"/> Officer (give title below) <input type="checkbox"/> Other (specify below) |
| 188 MAMARONECK RD                         |         |          | 12/31/2018   | CEO   |
| (Street)                                  |         |          | 4. If Amendment, Date Original Filed(Month/Day/Year)         | 6. Individual or Joint/Group Reporting (check applicable line)  |
| SCARSDALE, NY 10583                       |         |          |  | <input checked="" type="checkbox"/> Form Filed by One Reporting Person<br><input type="checkbox"/> Form Filed by More than One Reporting Person   |
| (City)                                    | (State) | (Zip)    |  |   |

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned at end of Issuer's Fiscal Year (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|--|--|---|
|                                 |                                      |  |                                | (A) or (D) Price  |  |  |   |
| Class A non-voting common stock | 02/26/2018                           | Â  | P(1)                           | 57.68 A \$ 26.95  | 14,129   | I  | Held in the Oppenheimer & Co. Inc. 401k Plan          |
| Class A non-voting common stock | 05/25/2018                           | Â  | P(1)                           | 53.46 A \$ 29.05  | 14,183   | I  | Held in the Oppenheimer & Co. Inc. 401k Plan          |

|                                 |            |   |                  |       |   |          |        |   |  |
|---------------------------------|------------|---|------------------|-------|---|----------|--------|---|--|
| Class A non-voting common stock | 08/24/2018 | Â | P <sup>(1)</sup> | 45.98 | A | \$ 33.25 | 14,228 | I | Held in the Oppenheimer & Co. Inc. 401k Plan |
| Class A non-voting common stock | 11/23/2018 | Â | P <sup>(1)</sup> | 55.52 | A | \$ 28.24 | 14,284 | I | Held in the Oppenheimer & Co. Inc. 401k Plan |
| Class B voting common stock     | 12/11/2018 | Â | P                | 32    | A | \$ 28.51 | 96,121 | I | Phase II Financial Inc. <sup>(2)</sup>       |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

**Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.**

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**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**

| 1. Title of Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | 8. Price of Derivative Security (Instr. 5) | 9. of D Se B O E Is Fi (I |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---------------------------|
|  |  |                                      |  |                                | (A) (D)   | Date Exercisable Expiration Date                         | Title   | Amount or Number of Shares                 |                           |

## Reporting Owners

| Reporting Owner Name / Address                                 | Relationships |           |         |       |
|--|---------------|-----------|---------|-------|
|  | Director      | 10% Owner | Officer | Other |
| LOWENTHAL ALBERT G<br>188 MAMARONECK RD<br>SCARSDALE, NY 10583 | Â X           | Â X       | Â CEO   | Â     |

## Signatures

/s/ Jenny Chan, as Attorney-in-fact for Albert G. Lowenthal 02/01/2019

\_\_Signature of Reporting Person

Date

## Explanation of Responses:

- \* If the form is filed by more than one reporting person, see Instruction 4(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).
- (1) The transaction describes an automatic dividend reinvestment program in the Reporting Owner's Oppenheimer & Co. Inc. 401k Plan.
- (2) Phase II Financial Inc. is a Delaware corporation controlled by Mr. Lowenthal who is its president.

Note: File three copies of this Form, one of which must be manually signed. If space provided 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.