

Information submitted via Top Hat Plan Statement Online Filing System to U. S.  
Department of Labor under 29 CFR 2520.104-23

Date Completed: 8/10/2015 2:53 PM EST

Confirmation Number: 499

Amended Confirmation Number:

Employer Information

Name: Oppenheimer Companies, Inc.  
Address: 877 W. Main Street, Suite 700  
City: Boise State: ID Zip Code: 83702

Plan Administrator Information

Name: Oppenheimer Companies, Inc.  
Address: 877 W. Main Street, Suite 700  
City: Boise State: ID Zip Code: 83702  
Phone: 2082870104  
Email: larry-lipschultz@oppcos.com

Plan Information

Employer maintains the plan or plans below primarily for the purpose of providing deferred compensation for a select group of management or highly compensated employees.

ID:1 Plan Name: Oppenheimer Companies, Inc. Executive Profit Number of Sharing Plan 2015 Employees: 2

Additional Information:

Total eligible employees 2 Anticipated participating employee 2 Effective date  
September 1, 2015



U. S. Department of Labor  
Employee Benefits Security Administration  
Washington, DC 20210

This message confirms that the Department of Labor's (DOL's) Employee Benefits Security Administration (EBSA) has received the filing of your Top Hat Plan Statement. The confirmation code for your filing is 499. When correcting errors to your filing, please use this code in your amended statement. This communication does not mean that DOL has made a determination that you are eligible to file under DOL regulation 29 CFR 2520.104-23.