McNAMARA DENNIS P

Form 4 July 03, 2008

# FORM 4

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

if no longer subject to Section 16. Form 4 or Form 5

Check this box

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

obligations may continue. See Instruction

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(b).

1. Name and Address of Reporting Person \* McNAMARA DENNIS P

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to Issuer

**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

**OMB** 

Number:

Expires:

response...

Estimated average

burden hours per

OPPENHEIMER HOLDINGS INC

[OPY]

Director 10% Owner

(Check all applicable)

3. Date of Earliest Transaction

(Last) (First) (Middle)

(Street)

(Month/Day/Year)

4. If Amendment, Date Original

X\_ Officer (give title Other (specify below) below) Assistant Secretary

99 COLONIAL PARKWAY 01/04/2008

6. Individual or Joint/Group Filing(Check

Filed(Month/Day/Year)

Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

(Instr. 4)

Person

MANHASSET, NY 11030

(City) (State) (Zip)

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

1.Title of Security (Instr. 3)

2. Transaction Date 2A. Deemed (Month/Day/Year)

Execution Date, if

(Month/Day/Year)

3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 3, 4 and 5) (Instr. 8)

5. Amount of Securities Beneficially Owned Following

6. Ownership 7. Nature of Form: Direct Indirect (D) or Indirect Beneficial Ownership (T)

(Instr. 4)

(A)

Reported Transaction(s)

(Instr. 3 and 4) Code V Amount (D) Price

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

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

1. Title of Derivative Security

Conversion or Exercise

3. Transaction Date 3A. Deemed (Month/Day/Year) Execution Date, if

any

4. 5. Number of **Transaction**Derivative Code Securities

6. Date Exercisable and **Expiration Date** (Month/Day/Year)

7. Title and Amount of **Underlying Securities** (Instr. 3 and 4)

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(Instr. 3)	Price of Derivative Security		(Month/Day/Year)	(Instr. 8)	Acquired (or Dispose (D) (Instr. 3, 4, and 5)	d of				
				Code V	7 (A)	(D)	Date Exercisable	Expiration Date	Title	Amour or Number of Shar
Restricted Class A Shares	(1)	01/04/2008		A	2,679		01/15/2009	01/15/2009	Class A non-voting shares	2,67
Restricted Class A Shares	<u>(2)</u>	01/04/2008		A	402		01/15/2011	01/15/2011	Class A non-voting shares	402
Restricted Class A Shares	(3)	01/29/2008		A	10,000		01/28/2011	01/28/2011	Class A non-voting shares	10,00

### **Reporting Owners**

Reporting Owner Name / Address	Relationships						
1 8	Director	10% Owner	Officer	Other			
McNAMARA DENNIS P			Assistant				
99 COLONIAL PARKWAY MANHASSET, NY 11030			Secretary				

# **Signatures**

Dennis P.

McNamara 07/03/2008

\*\*Signature of Date Reporting Person

# **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).
- The Reporting Person elected to recieve stock in lieu of a cash bonus. The award was made under the Oppenheimer & Co. Inc. Employee (1) Share Plan on 1/4/08 for 2,679 Class A Shares priced at grant date market price (\$41.05 per share close on the NYSE on 1/4/08) with vesting on 1/15/2009.
- (2) The transaction is a stock award granted under the Oppenheimer & Co. Inc. Employee Share Plan on 1/4/08 for 402 Class A Shares priced at grant date market price (\$41.05 per share close on the NYSE on 1/4/08) with vesting on the third anniversary of the grant.
- (3) The transaction is a stock award granted under the Oppenheimer & Co. Inc. Employee Share Plan on 1/29/08 for 10,000 Class A Shares priced at grant date market price (\$39.45 per share close on the NYSE on 1/29/08) with vesting on the third anniversary of the grant.

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.

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