

FILE NOW: FILING FEE AFTER MAY 1 IS \$550.00

FILED

May 06 1997 8:00am
Secretary of State

PROFIT CORPORATION ANNUAL REPORT 1997		FLORIDA DEPARTMENT OF STATE Sandra B. Mortham Secretary of State DIVISION OF CORPORATIONS
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DOCUMENT # **838957**

1. Corporation Name

Oppenheimer & Co., Inc.

Principal Place of Business

Mailing Address

**Oppenheimer Tower, World Financial Center
New York, NY 10281
Attn: General Counsel**

3. Date Incorporated or Qualified

3a. Date of Last Report

8/16/77

4. FEI Number

Applied For

13-2798343

Not Applicable

5. Certificate of Status Desired

**\$8.75 Additional
Fee Required**

6. Election Campaign Financing
Trust Fund Contribution

**\$5.00 May Be
Added to Fees**

8. This corporation has liability for intangible tax under s. 199.032,
Florida Statutes

☐ Yes ☐ No

9. Name and Address of Current Registered Agent

10. Name and Address of New Registered Agent

**The Prentice-Hall Corporation System, Inc.
1201 Hayes Street
Tallahassee, FL 32301**

81. Name

82. Street Address (P.O. Box Number is Not Acceptable)

83.

84. City

FL

85. Zip Code

11. Pursuant to the provisions of Sections 607.0502 and 607.1508, Florida Statutes, the above-named corporation submits this statement for the purpose of changing its registered office or registered agent, both, in the State of Florida. Such change was authorized by the corporation's board of directors. I hereby accept the appointment as registered agent. I am familiar with and accept the obligations of, Section 607.0505, Florida Statutes.

SIGNATURE

Signature of individual or firm (name of registered agent and title if applicable)

(NOTE: Registered Agent signature required when reinstating)

DATE

12. OFFICERS AND DIRECTORS

13. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 12

TITLE ☐ DELETE

1.1 TITLE ☐ Change ☐ Addition

NAME

1.2 NAME

STREET ADDRESS

1.3 STREET ADDRESS

CITY - ST - ZIP

1.4 CITY - ST - ZIP

TITLE ☐ DELETE

2.1 TITLE ☐ Change ☐ Addition

NAME

2.2 NAME

STREET ADDRESS

2.3 STREET ADDRESS

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2.4 CITY - ST - ZIP

TITLE ☐ DELETE

3.1 TITLE ☐ Change ☐ Addition

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NAME

9.2 NAME

STREET ADDRESS

9.3 STREET ADDRESS

CITY - ST - ZIP

9.4 CITY - ST - ZIP

14. I do hereby certify that the information supplied with this filing does not qualify for the exemption stated in Section 119.07(3)(i), Florida Statutes. I further certify that the information indicated on this annual report or supplemental annual report is true and accurate and that my signature shall have the same legal effect as if made under oath. That I am an officer or director of the corporation or the receiver or trustee empowered to execute this report as required by Chapter 607, Florida Statutes; and that my name appears in Block 12 or Block 13, if changed, or on an attachment with an address.

SIGNATURE:

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

4/18/97 2126677300

Date

Daytime Phone #

CR2E034 (9/96)

04/30/1997

Directors and Officers
Oppenheimer & Co., Inc.

DIRECTORS:

Stephen Robert	Director
Roger W. Einiger	Director
Antonio S. Fernandez	Director
Nathan Gantcher	Director
Burton C. Hallowell	Director
Michael C. Stoddart	Director

EXECUTIVE OFFICERS:

Stephen Robert	Chairman of the Board & Chief Executive Officer
Nathan Gantcher	Co-Chief Executive Officer Chief Operating Officer President
Roger W. Einiger	Vice Chairman & Chief Administrative Officer
Thomas Gallagher	Vice Chairman
Dennis E. Feeney	Chief Financial Officer
Melvin S. Herman	Treasurer
Robert I. Kleinberg	Secretary General Counsel
Dennis E. Feeney	Executive Vice President
Antonio S. Fernandez	Executive Vice President
Robert I. Kleinberg	Executive Vice President
Stephen M. McGrath	Executive Vice President
Seth Novatt	Executive Vice President
Alan H. Rappaport	Executive Vice President
Orrie Lee Tawes	Executive Vice President
Joyce L. Kramer	Assistant Corporate Secretary
Robert A. Blum	Assistant Corporate Secretary

Address for all Directors and Officers:

Oppenheimer Tower, World Financial Center, New York, NY 10281