

**ADMINISTRATIVE PROCEEDING
BEFORE THE
SECURITIES COMMISSIONER OF SOUTH CAROLINA**

IN THE MATTER OF:)

Oppenheimer & Co., Inc.,)
CRD No. 249,)

Consent Order

Matter Nos. 14115 and 15062

WHEREAS, the Securities Division of the Office of the Attorney General of the State of South Carolina (the "Division"), pursuant to authority granted in the South Carolina Uniform Securities Act of 2005 (the "Act"), S.C. Code Ann. § 35-1-101, *et. seq.* (Supp. 2014), conducted an examination into certain policies, procedures, and practices of Oppenheimer & Co., Inc. CRD

NOW, THEREFORE, it is hereby ORDERED, and the Respondent expressly consents

and agrees that:

A. The Respondent will immediately cease and desist from violating the Act;

~~B. The Respondent will pay a civil penalty in the amount of one hundred and~~

fifty thousand dollars (\$150,000) to the Division within ten (10) days of the execution of this Consent Order; and

C. The Respondent will reimburse the Division for costs incurred during the

~~investigation of these matters in the amount of twenty-five thousand dollars.~~

or (iv) other causes of action which [redacted] and [redacted] respondent not detained

[redacted] which may hereafter arise.

IT IS *with you* [redacted] *may* [redacted] /6

By: *[Signature]*
[redacted] Person

Securities Commissioner
State of South Carolina

5/3/2016

REPLY

Department of Environmental Conservation

Division of Marine Fisheries