

OPPENHEIMER HOLDINGS INC  
Form 8-K  
December 30, 2005

**UNITED STATES**  
**SECURITIES AND EXCHANGE COMMISSION**

Washington, D.C. 20549

**FORM 8-K**

**CURRENT REPORT**  
**PURSUANT TO SECTION 13 OR 15(d)**  
**OF THE SECURITIES EXCHANGE ACT OF 1934**

Date of Report (date of earliest event reported): December 29, 2005

*Commission File Number 1-12043*

**OPPENHEIMER HOLDINGS INC.**

Ontario, Canada

98-0080034

(State of incorporation)

(IRS employer identification number)

Edgar Filing: OPPENHEIMER HOLDINGS INC - Form 8-K

PO Box 2015, Suite 1110

20 Eglinton Avenue West

Toronto Ontario Canada M4R 1K8

(Address of principal executive offices) (Zip code)

(416) 322-1515

(Registrant's telephone number, including area code)

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions (see General Instruction A.2.):

Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)

Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)

Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))

Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))

## SECTION 8 OTHER EVENTS

### ITEM 8.01. Other Events.

Oppenheimer Holdings Inc. (the Company) today announced that its primary operating subsidiary, Oppenheimer & Co. Inc. (Oppenheimer) has settled various regulatory matters. These settled matters include anti-money-laundering (AML) issues, New York Stock Exchange (NYSE) regulatory examination findings (2003-2005) and National Association of Securities Dealers (NASD) registration (U-4/U-5) issues (pending final NASD approval). The settlements involve total fines of \$4.4 million, all of which was fully reserved in the Company's results for the nine months ended September 30, 2005.

## SECTION 9 FINANCIAL STATEMENTS AND EXHIBITS

### ITEM 9.01. Financial Statements and Exhibits

#### Exhibit Reference

Number	Exhibit Description
--------	---------------------

99.1	Oppenheimer Holdings Inc. press release, dated December 30, 2005.
------	-------------------------------------------------------------------

## SIGNATURES

Pursuant to the requirements of the Securities Exchange Act of 1934, the Registrant has duly caused this report to be signed on its behalf by the undersigned, thereunto duly authorized.

**Oppenheimer Holdings Inc.**

*Date: December 29, 2005*

*By: "E.K. Roberts"*

-----

*E.K. Roberts*

*President and Treasurer*

*(Duly Authorized Officer and*

*Principal Financial Officer)*