

TriState Capital Holdings, Inc.
Form 4
September 07, 2016

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

Check this box
if no longer
subject to
Section 16.
Form 4 or
Form 5
obligations
may continue.
See Instruction
1(b).

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

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

OMB APPROVAL

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
GETZ JAMES F

(Last) (First) (Middle)

**ONE OXFORD CENTRE, 301
GRANT STREET, SUITE 2700**

(Street)

PITTSBURGH, PA 15219

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
TriState Capital Holdings, Inc. [TSC]

3. Date of Earliest Transaction
(Month/Day/Year)
09/07/2016

4. If Amendment, Date Original
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

☒ Director ☐ 10% Owner
☒ Officer (give title below) ☐ Other (specify below)
CHAIRMAN, PRESIDENT AND CEO

6. Individual or Joint/Group Filing(Check
Applicable Line)
☒ Form filed by One Reporting Person
☐ Form filed by More than One Reporting
Person

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

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount (A) or (D)	Price	
Common Stock	09/07/2016		M		47,500	A \$ 10.25	665,845 D ⁽¹⁾
Common Stock	09/07/2016		S		47,500	D \$ 15.2507	618,345 D ⁽¹⁾
Common Stock	09/07/2016		M		27,500	A \$ 11.66	645,845 D ⁽¹⁾
Common Stock	09/07/2016		S		27,500	D \$ 15.2507	618,345 D ⁽¹⁾
Common Stock							51,252 D ⁽²⁾

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Common Stock	287,173	I	By Getz Enterprises, L.P. ⁽³⁾
Common Stock	180,618	I	By Barclays Capital, Inc. FBO James F. Getz Individual Retirement Account ⁽⁴⁾

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

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(9-02)

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

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	Amount or Number of Shares
Stock Options (Right to Buy)	\$ 10.25	09/07/2016		M	47,500	06/30/2015 ⁽⁵⁾ 12/31/2022	Common Stock	47,500
Stock Options (Right to Buy)	\$ 11.66	09/07/2016		M	27,500	07/02/2016 ⁽⁶⁾ 01/02/2024	Common Stock	27,500
Stock Options (Right to Buy)	\$ 10.31					07/16/2017 ⁽⁷⁾ 01/16/2025	Common Stock	64,160

Reporting Owners

Reporting Owner Name / Address

Relationships

Reporting Owners

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Director

10% Owner

Officer

Other

GETZ JAMES F
ONE OXFORD CENTRE
301 GRANT STREET, SUITE 2700
PITTSBURGH, PA 15219

X

CHAIRMAN,
PRESIDENT AND
CEO

Signatures

/s/ Keevican Weiss Bauerle & Hirsch LLC by David J. Hirsch,
Attorney-in-Fact

09/07/2016

__Signature of Reporting Person

Date

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).
- (1) Owned by Mr. Getz individually
- (2) Shares held jointly of record by Mr. Getz and his spouse.
- (3) The Reporting Person is the general partner of this entity, which owns a total of 287,173 shares of the Issuers' common stock.
- (4) The Reporting Person is the beneficiary of this account, which owns a total of 180,618 shares of the Issuer's common stock.
- (5) 47,500 of these options vested and became exercisable on or about 06/30/2015, and the remaining 47,500 options will vest and become exercisable on 12/31/2017.
- (6) 28,366 of these options vested and became exercisable on 7/2/2016, and the remainder will vest and become exercisable on 1/2/2019.
- (7) 32,080 of these options will vest and become exercisable on 7/16/2017, and the remainder will vest and become exercisable on 1/16/2020.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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