

GRAVES JAMES H  
Form 3  
May 08, 2013

# FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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## INITIAL STATEMENT OF 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

(Print or Type Responses)

1. Name and Address of Reporting Person \*

GRAVES JAMES H

(Last) (First) (Middle)

ONE OXFORD CENTRE, 301  
GRANT STREET, SUITE 2700

(Street)

PITTSBURGH, PA 15219

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

05/08/2013

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

4. Relationship of Reporting Person(s) to Issuer

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

(Check all applicable)

☒ Director ☐ 10% Owner  
☐ Officer ☐ Other  
(give title below) (specify below)

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 Beneficially Owned

1. Title of Security  
(Instr. 4)

2. Amount of Securities Beneficially Owned  
(Instr. 4)

3. Ownership Form:  
Direct (D)  
or Indirect (I)  
(Instr. 5)

4. Nature of Indirect Beneficial Ownership  
(Instr. 5)

COMMON STOCK

12,500

D

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

SEC 1473 (7-02)

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### Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security  
(Instr. 4)

2. Date Exercisable and Expiration Date  
(Month/Day/Year)

Date Exercisable

3. Title and Amount of Securities Underlying Derivative Security  
(Instr. 4)

Title

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security:  
Direct (D)

6. Nature of Indirect Beneficial Ownership  
(Instr. 5)

# Edgar Filing: GRAVES JAMES H - Form 3

|                                 |                           | Expiration<br>Date |                 | Amount or<br>Number of<br>Shares |          | or Indirect<br>(I)<br>(Instr. 5) |   |
|---------------------------------|---------------------------|--------------------|-----------------|----------------------------------|----------|----------------------------------|---|
| STOCK OPTIONS<br>(RIGHT TO BUY) | 06/30/2013 <sup>(1)</sup> | 12/31/2020         | COMMON<br>STOCK | 6,000                            | \$ 8     | D                                | Â |
| STOCK OPTIONS<br>(RIGHT TO BUY) | 06/30/2014 <sup>(2)</sup> | 12/31/2021         | COMMON<br>STOCK | 6,000                            | \$ 9.32  | D                                | Â |
| STOCK OPTIONS<br>(RIGHT TO BUY) | 06/30/2015 <sup>(3)</sup> | 12/31/2022         | COMMON<br>STOCK | 6,000                            | \$ 10.25 | D                                | Â |

## Reporting Owners

| Reporting Owner Name / Address                                                              | Relationships |              |         |       |
|---------------------------------------------------------------------------------------------|---------------|--------------|---------|-------|
|                                                                                             | Director      | 10%<br>Owner | Officer | Other |
| GRAVES JAMES H<br>ONE OXFORD CENTRE<br>301 GRANT STREET, SUITE 2700<br>PITTSBURGH, PA 15219 | Â X           | Â            | Â       | Â     |

## Signatures

/s/ Fenimore, Kay, Harrison & Ford, LLP by Brent Standefer, Jr.,  
Attorney-in-fact

05/08/2013

\_\_Signature of Reporting Person

Date

## Explanation of Responses:

\* If the form is filed by more than one reporting person, *see* Instruction 5(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) 3,000 of these options will vest and become exercisable on or about 06/30/2013, and the remaining 3,000 options will vest and become exercisable on 12/31/2015.
- (2) 3,000 of these options will vest and become exercisable on or about 6/30/2014, and the remaining 3,000 options will vest and become exercisable on 12/31/2016.
- (3) 3,000 of these options will vest and become exercisable on or about 6/30/2015, and the remaining 3,000 options will vest and become exercisable on 12/31/2017.

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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