

TriState Capital Holdings, Inc.
Form 4
November 15, 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
Number: 3235-0287
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(Print or Type Responses)

1. Name and Address of Reporting Person *
Dolan James J.

(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)
10/12/2016

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)

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	11/11/2016		M		6,000	A	\$ 8.75	12,125	D
Common Stock	11/11/2016		M		6,000	A	\$ 8	18,125	D
Common Stock	11/11/2016		S		12,000	D	\$ 19.0463 (1)	6,125	D
Common Stock	10/12/2016		G		5,000	D	\$ 0	94,132	D (2)
Common Stock								3,200	I Owned by spouse (3)

Common Stock	2,500	I	Charles Scwab and Co, Inc., Custodian of James J Dolan Roth Contributory IRA
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Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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SEC 1474
(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)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount or Number of Shares
Stock Options (Right to Buy)	\$ 8.75	11/11/2016		M	6,000	06/15/2012 ⁽⁴⁾ 12/15/2019	Common Stock 6,000
Stock Options (Right to Buy)	\$ 8	11/11/2016		M	6,000	06/30/2013 ⁽⁵⁾ 12/31/2020	Common Stock 6,000
Stock Options (Right to Buy)	\$ 11.78					06/13/2016 ⁽⁶⁾ 12/13/2023	Common Stock 6,000
Stock Options (Right to Buy)	\$ 10.25					06/30/2015 ⁽⁷⁾ 12/31/2022	Common Stock 6,000
Stock Options	\$ 9.32					06/30/2014 ⁽⁸⁾ 12/31/2021	Common Stock 6,000

(Right to
Buy)

Stock

Options

(Right to

Buy)

\$ 12

06/18/2011⁽⁹⁾

12/18/2018

Common
Stock

6,000

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Dolan James J. ONE OXFORD CENTRE 301 GRANT STREET, SUITE 2700 PITTSBURGH, PA 15219		X		

Signatures

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

11/15/2016

__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).

- The price reported in Column 4 is the average price. The shares were sold in multiple transactions at prices ranging from \$19.00 to \$19.05, inclusive. The Reporting Person undertakes to provide to any security holder of TriState Capital Holdings, Inc. or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (1) Shares held jointly of record by the Reporting Person and his spouse.
 - (2) The Reporting Person disclaims beneficial ownership of these securities except to the extent of any indirect pecuniary interest therein.
 - (3) This Form shall not be deemed an admission that he is a beneficial owner of any securities for purposes of Section 16 of the Securities Exchange Act of 1934 or for any other purpose.
 - (4) 3,000 of these options vested and became exercisable on 06/15/2012, and the remaining 3,000 options vested and became exercisable on 12/15/2014.
 - (5) 3,000 of these options will vest and become exercisable on or about 06/30/2013, and the remaining 3,000 options vested and became exercisable on 12/31/2015.
 - (6) 3,000 of these options will vest and become exercisable on 6/13/2016, and the remainder will vest and become exercisable on 12/13/2018.
 - (7) 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.
 - (8) 3,000 of these options vested and became exercisable on or about 6/30/2014, and the remaining 3,000 options will vest and become exercisable on 12/31/2016.
 - (9) 3,000 of these options vested and became exercisable on 06/18/2011, and the remaining 3,000 options vested and became exercisable on 12/18/2013.

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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