

Plotkin Ben A  
Form 4  
December 29, 2017

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2015  
Estimated average burden hours per response... 0.5

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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Plotkin Ben A

2. Issuer Name and Ticker or Trading Symbol  
STIFEL FINANCIAL CORP [SF]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)  
787 7TH AVENUE  
  
(Street)

3. Date of Earliest Transaction (Month/Day/Year)  
12/27/2017

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
Vice Chairman and SVP

NEW YORK, NY 33477

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

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

(City) (State) (Zip)

**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 Ownership (Instr. 4)
				(A) or (D)	Price		
Common Stock	12/27/2017		M	911 <sup>(1)</sup>	\$ 0	D	
Common Stock	12/27/2017		F	382	\$ 60.13	D	
Common Stock	12/27/2017		M	911 <sup>(2)</sup>	\$ 0	D	
Common Stock	12/27/2017		F	382	\$ 60.13	D	
Common Stock	12/27/2017		M	911 <sup>(3)</sup>	\$ 0	D	

Edgar Filing: Plotkin Ben A - Form 4

Common Stock	12/27/2017	F	382	D	\$ 60.13	97,813	D
Common Stock	12/27/2017	M	<u>6,745</u> (4)	A	\$ 0	104,558	D
Common Stock	12/27/2017	F	2,830	D	\$ 60.13	101,728	D

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

**Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.**

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)	8. Price of Underlying Securities (Instr. 3 and 4)				
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Phantom Stock Units	\$ 0	12/27/2017		M		911		(5)	(6)	Common Stock	911	\$
Phantom Stock Units	\$ 0	12/27/2017		M		911		(7)	(6)	Common Stock	911	\$
Phantom Stock Units	\$ 0	12/27/2017		M		911		(8)	(6)	Common Stock	911	\$
Phantom Stock Units	\$ 0	12/27/2017		M		6,745		(9)	(6)	Common Stock	6,745	\$

## Reporting Owners

Reporting Owner Name / Address

Relationships

Director    10% Owner    Officer    Other

Plotkin Ben A  
787 7TH AVENUE  
NEW YORK, NY 33477

Vice Chairman and SVP

## Signatures

Ben A. Plotkin

12/29/2017

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) Shares represent a grant of restricted stock which vest 100% ten years from the original grant date of the phantom stock unit.
- (2) Shares represent a grant of restricted stock which vest 100% eight years from the original grant date of the phantom stock unit.
- (3) Shares represent a grant of restricted stock which vest 100% nine years from the original grant date of the phantom stock unit.
- (4) Shares represent a grant of restricted stock which vest in 20% increments over a 5 year period from original grant date of the phantom stock unit.
- (5) Currently convertible. Units vest 100% ten years from the original grant date.
- (6) No expiration date for these Units.
- (7) Currently convertible. Units vest 100% eight years from the original grant date.
- (8) Currently convertible. Units vest 100% nine years from the original grant date.
- (9) Currently convertible. Units vest in 20% increments over a five year period from original grant date.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.