

GETZ JAMES F
Form 4
December 06, 2018

FORM 4

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

OMB APPROVAL

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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 *
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)

12/03/2018

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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| Common Stock | | | | (A) or (D) | V Amount Price | | By Getz Enterprises, L.P. ⁽¹⁾ |
| Common Stock | | | | (A) or (D) | V Amount Price | | By Stephens Inc. FBO James F. Getz Individual Retirement Account ⁽²⁾ |
| Common Stock | | | | (A) or (D) | V Amount Price | | |

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Common Stock 574,210 D ⁽⁴⁾

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

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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) | \$ 10.25 | 12/03/2018 | | D | 32,500 | 06/30/2015 12/31/2022 | Common Stock 32,500 |
| Stock Options (Right to Buy) | \$ 11.66 | 12/03/2018 | | D | 866 | 07/02/2016 01/02/2024 | Common Stock 866 |
| Stock Options (Right to Buy) | \$ 10.31 | 12/03/2018 | | D | 32,080 | 07/16/2017 01/16/2025 | Common Stock 32,080 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|-----------------------------------|-------|
| | 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/ Karla Villatoro de Friedman, General Counsel of TriState Capital Bank,
Attorney-in-Fact

12/04/2018

__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) The Reporting Person is the general partner of this entity.
- (2) The Reporting Person is the beneficiary of this account.
- (3) Owned by the Reporting Person individually.
- (4) Shares held jointly by the Reporting Person and his wife.

(5) The option was canceled by mutual agreement of the Reporting Person and TriState Capital Holdings, Inc. to satisfy an estimated tax obligation resulting from vesting of restricted stock in the amount of 105,387 shares set to occur on January 14, 2019, which restricted stock was previously granted to the Reporting Person pursuant to the Company's 2014 Omnibus Incentive Plan. The Reporting Person received \$470,925.00 as consideration for the cancellation.

(6) The option was canceled by mutual agreement of the Reporting Person and TriState Capital Holdings, Inc. to satisfy an estimated tax obligation resulting from vesting of restricted stock in the amount of 105,387 shares set to occur on January 14, 2019, which restricted stock was previously granted to the Reporting Person pursuant to the Company's 2014 Omnibus Incentive Plan. The Reporting Person received \$11,327.28 as consideration for the cancellation.

(7) The option was canceled by mutual agreement of the Reporting Person and TriState Capital Holdings, Inc. to satisfy an estimated tax obligation resulting from vesting of restricted stock in the amount of 105,387 shares set to occur on January 14, 2019, which restricted stock was previously granted to the Reporting Person pursuant to the Company's 2014 Omnibus Incentive Plan. The Reporting Person received \$462,914.40 as consideration for the cancellation.

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.