

STIFEL FINANCIAL CORP

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
Expires: January 31,
2005
Estimated average
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(Print or Type Responses)

1. Name and Address of Reporting Person *
WEISEL THOMAS W

(Last) (First) (Middle)

**ONE MONTGOMERY STREET,
SUITE 3700**

(Street)

SAN FRANCISCO, CA 94104

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol

STIFEL FINANCIAL CORP [SF]

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

11/26/2013

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	04/02/2014		G		580	D \$ 50.36	163,245	D	
Common Stock	04/08/2014		G		880	D \$ 45.7	162,365	D	
Common Stock	06/12/2014		G		3,355	D \$ 45.7	159,010	D	
Common Stock	06/25/2014		G		530	D \$ 47.27	158,480	D	
Common Stock	09/22/2014		G		500	D \$ 48.43	157,980	D	

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Common Stock	12/11/2014	G	5,112	D	\$ 49.25	152,868	D	
Common Stock	12/19/2014	G	1,365	D	\$ 51.47	151,503	D	
Common Stock	02/09/2015	G	7,023	D	\$ 50.36	148,367	D	
Common Stock	03/24/2015	S	35,148	D	\$ 56.94	110,188	D	
Common Stock	11/10/2015	G	3,225	D	\$ 46.26	106,963	D	
Common Stock	11/26/2013	S	18,231	D	\$ 45.22	0	I	by Trust

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)	8. Price or Value of Underlying Securities (Instr. 3 and 4)
Phantom Stock Units	\$ 0			Code V (A) (D)		Date Exercisable Expiration Date	Title	Amount or Number of Shares
						02/08/2011 ⁽¹⁾ ⁽²⁾	Common Stock	57,861

Reporting Owners

Relationships

Reporting Owner Name / Address

Director 10% Owner Officer Other

WEISEL THOMAS W
ONE MONTGOMERY STREET, SUITE 3700

X

Reporting Owners

SAN FRANCISCO, CA 94104

Signatures

By: David M. Minnick For: Thom
Weisel

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).
- (1) Units vest in 20% increments over a five year period.
- (2) No expiration date for these Units.

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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