

Minnick James E.  
Form 4/A  
May 29, 2018

**FORM 4**

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

OMB APPROVAL

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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 \*  
Minnick James E.

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

5. Relationship of Reporting Person(s) to Issuer  
(Check all applicable)

(Last) (First) (Middle)  
150 N. RADNOR CHESTER ROAD, SUITE A200  
(Street)

3. Date of Earliest Transaction (Month/Day/Year)  
05/25/2018

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

RADNOR, PA 19087  
(City) (State) (Zip)

4. If Amendment, Date Original Filed(Month/Day/Year)  
05/24/2018

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, no par value      | 05/25/2018                           |  | S                              | (1) 1,521,535 (2) D 25.71   | \$ 1,852,158  | I  | By LM III TriState Holdings LLC (3) (4) (5)           |
| Common Stock, no par value      | 05/25/2018                           |  | S                              | (1) 678,465 (2) D 25.71   | \$ 825,891  | I  | By LM III-A TriState Holdings LLC (3) (4) (5)         |

Common Stock, no par value 12,000 D

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) | 8. Price of Derivative Security (Instr. 5) | 9. Nu                      |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|----------------------------|
|  |  |                                      |  | Code                           | V (A) (D)   | Date Exercisable   | Expiration Date   | Title                                      | Amount or Number of Shares |

## Reporting Owners

**Reporting Owner Name / Address**

**Relationships**

Director 10% Owner Officer Other

Minnick James E.  
150 N. RADNOR CHESTER ROAD, SUITE A200 X  
RADNOR, PA 19087

## Signatures

James E. Minnick 05/29/2018

\*\*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) Represents shares of TriState Capital Holdings, Inc.'s (the "Issuer") common stock sold in an underwritten secondary offering.
- (2) Represents the sale price to the underwriters in the secondary offering of \$25.71 per share.

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- (3) Lovell Minnick Partners LLC ("LMP") is the managing member of Fund III UGP LLC, which is the general partner of Lovell Minnick Equity Advisors III LP, which is, in turn, the general partner of Lovell Minnick Equity Partners III LP ("LMEP III") and Lovell Minnick Equity Partners III-A LP ("LMEP III-A"). LMEP III is the managing member of LM III TriState Holdings LLC and LMEP III-A is the managing member of LM III-A TriState Holdings LLC.
- (4) Mr. Minnick may be deemed to beneficially own the shares of common stock reported herein by virtue of his being the co-chairman of LMP.
- (5) Mr. Minnick expressly disclaims beneficial ownership of the reported shares except to the extent of his pecuniary interest therein.

### Remarks:

The original Form 4 filed on May 24, 2018 incorrectly stated the transaction date was May 22, 2018. This amended Form 4 als

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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