#### Edgar Filing: PEAPACK GLADSTONE FINANCIAL CORP - Form 4

#### PEAPACK GLADSTONE FINANCIAL CORP

Form 4

March 13, 2017

### FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

**OMB APPROVAL** 

OMB 3235-0287 Number:

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if no longer subject to Section 16. Form 4 or Form 5

Check this box

obligations may continue. See Instruction

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

1(b).

(Last)

(Print or Type Responses)

1. Name and Address of Reporting Person \* Caspersen Finn MW Jr

2. Issuer Name and Ticker or Trading

Symbol

PEAPACK GLADSTONE FINANCIAL CORP [PGC]

3. Date of Earliest Transaction

5. Relationship of Reporting Person(s) to Issuer

below)

(Check all applicable)

(First)

03/11/2017

(Month/Day/Year)

\_X\_\_ Director 10% Owner X\_ Officer (give title

Other (specify

500 HILLS DRIVE, SUITE 300, PO **BOX 700** 

(Street)

(Middle)

SEVP & Chief Counsel

4. If Amendment, Date Original

Filed(Month/Day/Year)

Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

6. Individual or Joint/Group Filing(Check

BEDMINSTER, NJ 07921

| (City)                               | (State)                                 | (Zip) Tabl  | le I - Non-I                           | Derivative                            | Secu                         | rities Acq  | quired, Disposed (   | of, or Beneficia   | ally Owned  |
|--------------------------------------|---|---|--|---------------------------------------|------------------------------|-------------|--|--|---|
| 1.Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3.<br>Transactic<br>Code<br>(Instr. 8) | 4. Securi<br>or(A) or D<br>(Instr. 3, | ispose<br>4 and<br>(A)<br>or | d of (D)    | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
| Common<br>Stock                      | 03/11/2017                              |   | A                                      | 7,446                                 | A                            | \$ 0        | 96,407   | D  |   |
| Common<br>Stock                      | 03/11/2017                              |   | F                                      | 2,610                                 | D                            | \$<br>30.08 | 93,797   | D  |   |
| Common<br>Stock                      |   |   |  |                                       |                              |             | 1,432.9222   | I  | Profit<br>Sharing<br>Plan   |
| Common<br>Stock                      |   |   |  |                                       |                              |             | 3,135.1173   | I  | Employee<br>Stock<br>Purchase                                     |

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Plan

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

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SEC 1474 (9-02)

> 9. Nu Deriv

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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<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transa<br>Code<br>(Instr. |   | 5. onNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) |                     | ate                | Amor<br>Unde<br>Secur | le and<br>ant of<br>rlying<br>ities<br>. 3 and 4) | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) |
|---|---|---|---|---------------------------------|---|---|---------------------|--------------------|-----------------------|---|---|
|   |   |   |   | Code                            | V | (A) (D)   | Date<br>Exercisable | Expiration<br>Date | Title                 | Amount<br>or<br>Number<br>of<br>Shares            |   |

# **Reporting Owners**

| Reporting Owner Name / Address | Keiauonsnips |
|--------------------------------|--------------|
| Reporting Owner Name / Address |              |

Director 10% Owner Officer Other

Caspersen Finn MW Jr

500 HILLS DRIVE, SUITE 300 SEVP & Chief Counsel X PO BOX 700

BEDMINSTER, NJ 07921

### **Signatures**

Finn M.W. 03/13/2017 Caspersen Jr

\*\*Signature of Reporting 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).

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.

Reporting Owners 2