

OATES JAMES M
Form 4
January 05, 2005

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
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(Print or Type Responses)

1. Name and Address of Reporting Person *
OATES JAMES M

(Last) (First) (Middle)

522 LAKESHORE DRIVE

(Street)

ELKINS, NH 03233

(City) (State) (Zip)

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

STIFEL FINANCIAL CORP [SF]

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

01/03/2005

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 (D) Price			
Common Stock					55,349	D	
Common Stock					6,266	I	by Spouse

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

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information contained in this form are not
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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)

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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. D S (
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option (Option to Buy)	\$ 20.22	01/03/2005		A		1,000		<u>(1)</u>	01/03/2015	Common Stock	1,000
Phantom Stock Units	\$ 0							01/02/2002	01/02/2012	Common Stock	200
Phantom Stock Units	\$ 0							01/29/2002	01/29/2012	Common Stock	175
Phantom Stock Units	\$ 0							02/01/2002	02/01/2012	Common Stock	181
Phantom Stock Units	\$ 0							03/01/2002	03/01/2012	Common Stock	174
Phantom Stock Units	\$ 0							04/01/2002	04/01/2012	Common Stock	163
Phantom Stock Units	\$ 0							05/01/2002	05/01/2012	Common Stock	156
Phantom Stock Units	\$ 0							05/09/2002	05/09/2012	Common Stock	166
Phantom Stock Units	\$ 0							06/01/2002	06/01/2012	Common Stock	154
Phantom Stock Units	\$ 0							07/01/2002	07/01/2012	Common Stock	165
Phantom Stock	\$ 0							07/23/2002	07/23/2012	Common Stock	155

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Units						
Phantom Stock Units	\$ 0		08/01/2002	08/01/2012	Common Stock	172
Phantom Stock Units	\$ 0		09/03/2002	09/03/2012	Common Stock	161
Phantom Stock Units	\$ 0		10/01/2002	10/01/2012	Common Stock	165
Phantom Stock Units	\$ 0		10/28/2002	10/28/2012	Common Stock	199
Phantom Stock Units	\$ 0		11/01/2002	11/01/2012	Common Stock	174
Phantom Stock Units	\$ 0		12/02/2002	12/02/2012	Common Stock	177
Phantom Stock Units	\$ 0		01/02/2003	01/02/2013	Common Stock	189
Phantom Stock Units	\$ 0		01/30/2003	01/30/2013	Common Stock	208
Phantom Stock Units	\$ 0		02/03/2003	02/03/2013	Common Stock	177
Phantom Stock Units	\$ 0		03/03/2003	03/03/2013	Common Stock	175
Phantom Stock Units	\$ 0		04/01/2003	04/01/2013	Common Stock	179
Phantom Stock Units	\$ 0		05/01/2003	05/01/2013	Common Stock	172
Phantom Stock Units	\$ 0		05/12/2003	05/12/2013	Common Stock	195
Phantom Stock Units	\$ 0		06/01/2013	06/01/2013	Common Stock	166

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Phantom Stock Units	\$ 0	07/01/2003	07/01/2013	Common Stock	168
Phantom Stock Units	\$ 0	08/01/2003	08/01/2013	Common Stock	171
Phantom Stock Units	\$ 0	08/06/2003	08/06/2013	Common Stock	425
Phantom Stock Units	\$ 0	09/01/2003	09/01/2013	Common Stock	161
Phantom Stock Units	\$ 0	10/01/2003	10/01/2013	Common Stock	863

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
OATES JAMES M 522 LAKESHORE DRIVE ELKINS, NH 03233			X	

Signatures

By: Forrest M. Smith For: James M.
Oates

01/05/2005

__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) Options vest in 20 percent increments on 1/3/06, 1/3/07, 1/3/08, 1/3/09 and 1/3/10.

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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