

ZEMLYAK JAMES M
Form 4
December 29, 2017

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 *
ZEMLYAK JAMES M

(Last) (First) (Middle)

ONE FINANCIAL PLAZA, 501 N.
BROADWAY

(Street)

ST. LOUIS, MO 63102-2102

(City) (State) (Zip)

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

STIFEL FINANCIAL CORP [SF]

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

12/27/2017

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)

CHIEF FIN'L & ADMIN OFFCR

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	12/29/2017		A	(A) or (D) Amount 83,153 (1)	\$ 0	843,494	D
Common Stock	12/29/2017		F	39,872	\$ 60.13	803,622	D
Common Stock					4,602	I	by Son

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)

number.

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. Pr Deri Secu (Instr		
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Phantom Stock Units	\$ 0	12/27/2017		M		2,737		<u>(2)</u>	<u>(3)</u>	Common Stock	2,737	S
Phantom Stock Units	\$ 0	12/27/2017		M		2,737		<u>(4)</u>	<u>(3)</u>	Common Stock	2,737	S
Phantom Stock Units	\$ 0	12/27/2017		M		2,737		<u>(5)</u>	<u>(3)</u>	Common Stock	2,737	S
Phantom Stock Units	\$ 0	12/27/2017		M		4,301		<u>(6)</u>	<u>(3)</u>	Common Stock	4,301	S
Phantom Stock Units	\$ 0	12/27/2017		M		4,301		<u>(2)</u>	<u>(3)</u>	Common Stock	4,301	S
Phantom Stock Units	\$ 0	12/27/2017		M		4,301		<u>(4)</u>	<u>(3)</u>	Common Stock	4,301	S
Phantom Stock Units	\$ 0	12/27/2017		M		3,845		<u>(7)</u>	<u>(3)</u>	Common Stock	3,845	S
Phantom Stock Units	\$ 0	12/27/2017		M		3,183		<u>(8)</u>	<u>(3)</u>	Common Stock	3,183	S
Phantom Stock Units	\$ 0	12/27/2017		M		2,147		<u>(8)</u>	<u>(3)</u>	Common Stock	2,147	S
Phantom Stock Units	\$ 0	12/27/2017		M		7,055		<u>(9)</u>	<u>(3)</u>	Common Stock	7,055	S

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Phantom Stock Units	\$ 0	12/27/2017	M	19,787	<u>(8)</u>	<u>(3)</u>	Common Stock	19,787	S
Phantom Stock Units	\$ 0	12/27/2017	M	3,398	<u>(8)</u>	<u>(3)</u>	Common Stock	3,398	S
Phantom Stock Units	\$ 0	12/27/2017	M	3,415	<u>(10)</u>	<u>(3)</u>	Common Stock	3,415	S
Phantom Stock Units	\$ 0	12/27/2017	M	3,415	<u>(4)</u>	<u>(3)</u>	Common Stock	3,415	S
Phantom Stock Units	\$ 0	12/27/2017	M	3,415	<u>(5)</u>	<u>(3)</u>	Common Stock	3,415	S

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
ZEMLYAK JAMES M ONE FINANCIAL PLAZA 501 N. BROADWAY ST. LOUIS, MO 63102-2102	X		CHIEF FIN'L & ADMIN OFFCR	

Signatures

JAMES M
ZEMLYAK 12/29/2017

__Signature of Reporting Date
Person

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) Shares represent a grant of restricted stock which vest in 20% increments over a five year period from the grant date.
- (2) Currently convertible. Units vest 100% seven years from the original grant date.
- (3) No expiration date for these Units.
- (4) Currently convertible. Units vest 100% eight years from the original grant date.
- (5) Currently convertible. Units vest 100% nine years from the original grant date.
- (6) Currently convertible. Units vest 100% six years from the original grant date.
- (7) Currently convertible. Units vest 100% five years from the original grant date.
- (8) Currently convertible. Units vest in 20% increments over a five year period from original grant date.
- (9) Currently convertible. Units vest in 10% increments over ten years from the original grant date.
- (10) Currently convertible. Units vest 100% ten years from the original grant date.

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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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