Edgar Filing: STIFEL FINANCIAL CORP - Form 4

STIFEL FIN Form 4 March 06, 20	ANCIAL CO	RP								
	_								OMB A	PPROVAL
FORM	UNIII	ED STATE:		ITIES Al hington, 1			NGE (COMMISSION		3235-0287
Check this box if no longer subject to Section 16. Form 4 or			F CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES					burden hou	Expires: January 31, 2005 Estimated average burden hours per response 0.5	
Form 5 obligation may cont See Instru 1(b).	Filed ^{ns} Section	17(a) of the		ility Hold	ing Com	pany	Act o	ge Act of 1934, f 1935 or Sectic 40	·	0.5
(Print or Type F	Responses)									
1. Name and Address of Reporting Person <u>*</u> Marischen James M		2. Issuer Name and Ticker or Trading Symbol STIFEL FINANCIAL CORP [SF]			5. Relationship of Reporting Person(s) to Issuer					
(Last)	(First)	(Middle)	3. Date of Earliest Transaction		(Chee	Check all applicable)				
	NCIAL PLAZ	~ /	(Month/Da 03/02/20	ay/Year)	linsaction			Director X Officer (giv below) SENIOR VP &		
				4. If Amendment, Date Original Filed(Month/Day/Year)			6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person			
ST. LOUIS,	MO 63102-2	2102						Form filed by I Person	More than One Re	eporting
(City)	(State)	(Zip)	Table	e I - Non-Do	erivative S	ecuri	ties Ac	quired, Disposed o	f, or Beneficial	lly Owned
1.Title of Security (Instr. 3)	2. Transaction (Month/Day/Y	any	emed ion Date, if /Day/Year)	Code (Instr. 8)	Disposed (Instr. 3,	(A) of (D 4 and (A) or)) 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				Code V	Amount	(D)	Price	9,069	D	

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

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control 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. Transactic Code (Instr. 8)	5. Number on f Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exer Expiration D (Month/Day/	ate	7. Title and <i>A</i> Underlying S (Instr. 3 and	Securities	8. Pric Deriva Securi (Instr.
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Phantom Stock Units	\$ 0	03/02/2017		А	2,562	<u>(1)</u>	(2)	Common Stock	2,562	\$

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Reporting Owners

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
Marischen James M ONE FINANCIAL PLAZA 501 N. BROADWAY ST. LOUIS, MO 63102-2102			SENIOR VF CHIEF RISK OFFICER				
Signatures							

JAMES M	
MARISCHEN	03/06/2017

**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).
- Units vest in 20% increments over a five year period. (1)
- (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. 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.