

ZEMLYAK JAMES M
Form 4
December 29, 2017

FORM 4

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

OMB APPROVAL

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

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

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

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

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 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) 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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