

Dolan James J.
Form 4
December 01, 2017

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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

(Print or Type Responses)

1. Name and Address of Reporting Person *
Dolan James J.

(Last) (First) (Middle)

ONE OXFORD CENTRE, 301
GRANT STREET, SUITE 2700

(Street)

PITTSBURGH, PA 15219

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
TriState Capital Holdings, Inc. [TSC]

3. Date of Earliest Transaction
(Month/Day/Year)
08/11/2017

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)

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 Ownership (Instr. 4)	
			Code	V	Amount or Price			
Common Stock	11/29/2017		M		6,000	A	\$ 12 16,625	D
Common Stock	11/29/2017		M		3,000	A	\$ 9.32 19,625	D
Common Stock	11/29/2017		M		3,000	A	\$ 11.78 22,625	D
Common Stock	11/29/2017		S		12,000	D	\$ 24.3216 10,625	D
Common Stock	08/11/2017		G		10,000	D	\$ 0 90,757	D ⁽²⁾

Edgar Filing: Dolan James J. - Form 4

Common Stock	3,200	I	Owned by spouse ⁽³⁾ Charles Scwab and Co, Inc., Custodian of James J Dolan Roth Contributory IRA
Common Stock	2,500	I	

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.

SEC 1474
(9-02)

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)	Amount or Number of Shares	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Options (Right to Buy)	\$ 12	11/29/2017		M	6,000	06/18/2011 ⁽⁴⁾ 12/18/2018	Common Stock	6,000	
Stock Options (Right to Buy)	\$ 9.32	11/29/2017		M	3,000	06/30/2014 ⁽⁵⁾ 12/31/2021	Common Stock	3,000	
Stock Options (Right to Buy)	\$ 11.78	11/29/2017		M	3,000	06/13/2016 ⁽⁶⁾ 12/13/2023	Common Stock	6,000	
Stock Options (Right to Buy)	\$ 10.25					06/30/2015 ⁽⁷⁾ 12/31/2022	Common Stock	3,000	

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Dolan James J. ONE OXFORD CENTRE 301 GRANT STREET, SUITE 2700 PITTSBURGH, PA 15219	X			

Signatures

/s/ Keevican Weiss Bauerle & Hirsch LLC by David J. Hirsch,
Attorney-in-Fact

11/29/2017

__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) The price reported in Column 4 is the average price. The shares were sold in multiple transactions at prices ranging from \$24.30 to \$24.40, inclusive. The Reporting Person undertakes to provide to any security holder of TriState Capital Holdings, Inc. or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
 - (2) Shares held jointly of record by the Reporting Person and his spouse.

The Reporting Person disclaims beneficial ownership of these securities except to the extent of any indirect pecuniary interest therein.
 - (3) This Form shall not be deemed an admission that he is a beneficial owner of any securities for purposes of Section 16 of the Securities Exchange Act of 1934 or for any other purpose.
 - (4) 3,000 of these options vested and became exercisable on 6/18/2011, and the remainder vested and became exercisable on 12/18/2013.
 - (5) These options vested and became exercisable on 12/31/2016. There originally were 6,000 options, 3,000 of which vested and became exercisable on June 30, 2014 and were previously exercised.
 - (6) 3,000 of these options vested and became exercisable on 6/13/2016, and the remainder will vest and become exercisable on 12/13/2018.
 - (7) These options will vest and become exercisable on 12/31/2017. There originally were 6,000 options, 3,000 of which vested and became exercisable on June 30, 2015 and were previously exercised.

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.