DILL CHARLES A

Form 4 June 05, 2009

# FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB** Number:

3235-0287

Expires:

January 31, 2005

0.5

Estimated average burden hours per

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response...

if no longer subject to Section 16. Form 4 or Form 5

Check this box

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940 See Instruction

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading DILL CHARLES A Issuer Symbol STIFEL FINANCIAL CORP [SF] (Check all applicable) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) X\_ Director 10% Owner Officer (give title Other (specify GATEWAY ASSOCIATES, 8000 06/03/2009 below) MARYLAND AVE., SUITE 1190 (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) \_X\_ Form filed by One Reporting Person Form filed by More than One Reporting ST. LOUIS, MO 63105

(State)

(Zin)

(City)

| vnership 7. Nature of |  |
|-----------------------|--|
| : Direct Indirect     |  |
| r Beneficial          |  |
| ect (I) Ownership     |  |
| (Instr. 4)            |  |
|                       |  |
|                       |  |
|                       |  |
|                       |  |
|                       |  |
|                       |  |
| 1                     | : Direct Indirect r Beneficial ect (I) Ownership |

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)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)

### Edgar Filing: DILL CHARLES A - Form 4

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transactic<br>Code<br>(Instr. 8) | Securities | 6. Date Exercisable and Expiration Date (Month/Day/Year) |                    | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) |  |
|---|---|---|---|--|------------|--|--------------------|---|--|
|   |   |   |   | Code V                                 | (A) (D)    | Date<br>Exercisable                                      | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of<br>Shares |
| Phantom<br>Stock<br>Units                           | \$ 0  | 06/03/2009                              |   | A                                      | 2,250      | <u>(1)</u>   | (2)                | Common<br>Stock   | 2,250                                  |
| Phantom<br>Stock<br>Units                           | \$ 0  |   |   |  |            | 10/01/2003   | 10/01/2013         | Common<br>Stock   | 517                                    |
| Phantom<br>Stock<br>Units                           | \$ 0  |   |   |  |            | 01/01/2004   | 01/01/2014         | Common<br>Stock   | 607                                    |
| Stock<br>Option<br>(Option<br>to Buy)               | \$ 7.8  |   |   |  |            | <u>(3)</u>   | 01/02/2012         | Common<br>Stock   | 2,000                                  |
| Stock<br>Option<br>(Option<br>to Buy)               | \$ 8.7  |   |   |  |            | <u>(4)</u>   | 01/30/2013         | Common<br>Stock   | 2,000                                  |
| Stock<br>Option<br>(Option<br>to Buy)               | \$ 13.89  |   |   |  |            | <u>(5)</u>   | 02/03/2014         | Common<br>Stock   | 2,000                                  |
| Stock<br>Option<br>(Option<br>to Buy)               | \$ 20.22  |   |   |  |            | <u>(6)</u>   | 01/03/2015         | Common<br>Stock   | 1,500                                  |
| Stock<br>Option<br>(Option<br>to Buy)               | \$ 38.25  |   |   |  |            | <u>(7)</u>   | 01/03/2016         | Common<br>Stock   | 1,500                                  |
| Stock<br>Option<br>(Option<br>to Buy)               | (8)   |   |   |  |            | <u>(9)</u>   | (10)               | Common<br>Stock   | 3,998                                  |

# **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

DILL CHARLES A
GATEWAY ASSOCIATES
8000 MARYLAND AVE., SUITE 1190
ST. LOUIS, MO 63105



#### **Signatures**

By: David M. Minnick For: Charles

A. Dill 06/05/2009

\*\*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) Units vest quarterly over a one year period.
- (2) No expiration date for these Units.
- (3) Options vest in 20% increments on 1/2/03, 1/2/04, 1/2/05, 1/2/06 and 1/2/07.
- (4) Options vest in 20% increments on 1/3/04, 1/3/05, 1/3/06, 1/3/07 and 1/3/08.
- (5) Options vest in 20% increments yearly from the grant date.
- (6) Options vest in 20 percent increments on 1/3/06, 1/3/07, 1/3/08, 1/3/09 and 1/3/10.
- (7) Options vest in 20% increments on 1/3/07, 1/3/08, 1/3/09, 1/3/10 and 1/3/11.
- (8) Various exercise prices.
- (9) Options vest over time.
- (10) Various expiration dates.

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.

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