Edgar Filing: Cowen Group, Inc. - Form 4

August 02, 2007 FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Section 16. From 4 or STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF Section 17(a) of the Public Utility Holding Company Act of 1935, or Section 30(h) of the Investment Company Act of 1935, or Section (b). (Print or Type Response) I. Name and Address of Reporting Person 1 (b). (Print or Type Response) I. Name and Address of Reporting Person 1 (b). (Print or Type Response) I. Name and Address of Reporting Person 1 (b). (Print or Type Response) I. Name and Address of Reporting Person 1 (b). (Print or Type Response) I. Name and Address of Reporting Person 1 (b). (Print or Type Response) I. Name and Address of Reporting Person 1 (b). (Print or Type Response) I. Name and Address of Reporting Person 1 (b). (Print or Type Response) I. Name and Address of Reporting Person 1 (b). (Print or Type Response) I. Name and Address of Reporting Person 1 (b). (Print or Type Response) I. Name and Address of Reporting Person 2 (Streev) (Month/Day/Year) (Streev) (Month/Day/Year) (Streev) (Streev)	Cowen Grou Form 4	ip, Inc.										
CURINE 4UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549OMB Number:3235-0287 Number:Check this host 		2007										
Check this box if no longer subject to Section 16. Form 4 or Form 4 or Form 4 or Section 17.(a) of the Public Utility Holding Company Act of 1934, may comine. Section 17.(a) of the Public Utility Holding Company Act of 1935 or Section as a Instruction t(b). (Print or Type Responses) I. Name and Address of Reporting Person! Symbol Cowen Group, Inc. [COWN] (Last) (First) (Middle) (Inst) (First) (Middle) (Strate) (Capponent) (Strate) (Capponent) (Strate) (Capponent) (Strate) (Capponent) (Strate) (Capponent) (Strate) (Capponent) (Capponent) (Strate) (Capponent) (Strate) (Capponent) (Capponent) (Strate) (Capponent) (Capponent) (Strate) (Capponent) (Strate) (Capponent) (Capponent) (Strate) (Capponent) (Strate) (Capponent) (Capponent) (Strate) (Capponent) (Strate) (Capponent) (Strate) (Capponent) (Capponent) (Strate) (Capponent) (Capponent) (Strate) (Capponent) (Strate) (Capponent) (Strate) (Capponent) (Strate) (Capponent) (Strate) (Capponent) (Strate) (Capponent) (Capponent) (Strate) (Capponent) (Strate) (Strate) (St	FORM	14								OMB AF	PPROVAL	
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1. Name and Address of Reporting Person $\frac{1}{2}$ 2. Issuer Name and Ticker or Trading Symbol Cowen Group, Inc. [COWN]5. Relationship of Reporting Person(s) to Issuer(Last)(First)(Middle)3. Date of Earliest Transaction (Month/Day/Year)(Check all applicable)(Last)(First)(Middle)3. Date of Earliest Transaction (Month/Day/Year)(Check all applicable)(COWEN GROUP, INC., 1221 AVENUE OF THE AMERICAS4. If Amendment, Date Original Filed(Month/Day/Year)6. Individual or Joint/Group Filing(Check Applicable Line) -X. Form filed by More than One Reporting Person -Form filed by More than One Reporting Person(City)(State)(Zip)Table I - Non-Derivative Securities Acquired, Disposed of (D) Code5. Amount of Omer (Instr. 3, 4 and 5)6. Ownership Omer filed by More than One Reporting Person1. Title of Security (Instr. 3)2. Transaction Date (Month/Day/Year)3. 4. Securities Acquired, Disposed of (D) Code (Instr. 3, 4 and 5)5. Amount of Owned Owned (Instr. 3, 4 and 5)6. Ownership Owned (Instr. 4)7. Nature of Form Direct Indirect Beneficially Owned (Instr. 4)6. Ownership (Instr. 4)Common Stock08/02/2007P200A $\frac{$}{13,99}$ 6,200 (l)IBy daughterCommon Stock08/02/2007P600A $\frac{$}{13,99}$ 6,800 (l)IBy daughter	obligations may continue. See InstructionSection 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940											
Fennebresque Kim SIssuerSymbolIssuer(Last)(First)(Middle)3. Date of Earliest Transaction(Last)(First)(Middle)3. Date of Earliest Transaction(Month/Day/Year)-X_Diffector(Check all applicable)(CowEN GROUP, INC., 1221(Month/Day/Year)-X_Officer (give tide) Other (specify below)COWEN GROUP, INC., 1221(Month/Day/Year)-X_Officer (give tide) Other (specify below)COWEN GROUP, INC., 1221(Month/Day/Year)-X_Officer (give tide) Other (specify below)COWEN GROUP, INC., 1221(Street)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 Form filed by One Reporting Person Form filed by One Reporting Person Form filed by One than One Reporting PersonS. Amount of Security6. Ownership Transaction Date 2A. Deemed Security3. 4. Securities Acquired Or Code (Instr. 3. 4 and 5)S. Amount of SecuritiesS. Amount of <td>(Print or Type I</td> <td>Responses)</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td>	(Print or Type I	Responses)										
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Filed(Month/Day/Year)Applicable Line) .X_ Form filed by One Reporting Person Form filed by More than One Reporting Person 	COWEN G	(Month/Day/Year)					XOfficer (give titleOther (specify below)					
NEW YORK, NY 10020 $$ City (City) (State) (Zip) (Month/Day/Year) (City) (State) (Zip) (Month/Day/Year) (Month/$					-							
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Common Stock $08/02/2007$ P 200 A $\$$ $6,200 \frac{(1)}{(1)}$ I By daughter Common Stock $08/02/2007$ P 600 A $\$$ $6,800 \frac{(1)}{(1)}$ I By daughter Common Stock $08/02/2007$ P 600 A $\$$ 14 $7,500 \frac{(1)}{(1)}$ I By daughter Common 08/02/2007 P 700 A $\$,14$ $7,500 \frac{(1)}{(1)}$ I By daughter	Security		onth/Day/Year) Execution Date, if any			n(A) or Di (Instr. 3,	(A) or	d of (D) 5)	Securities Beneficially Owned Following Reported Transaction(s)	Form: Direct (D) or Indirect (I)	Indirect Beneficial Ownership	
Common Stock $08/02/2007$ P 600 A $\$ \\ 13.99$ $6,800 \frac{(1)}{(1)}$ I By daughter Common $08/02/2007$ P 700 A $\$ 14$ $7500 \frac{(1)}{(1)}$ I By		08/02/2007						\$		Ι	•	
$(\mathbf{x}_1)/(\mathbf{u}_1)$ $\mathbf{P}_1/(\mathbf{u}_1)$ $\Delta \mathbf{x}_1/(\mathbf{u}_1)$ \mathbf{v}_1	Common	08/02/2007			Р	600	А	\$	6,800 <u>(1)</u>	Ι	By	
		08/02/2007			Р	700	А	\$ 14	7,500 <u>(1)</u>	I	•	

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

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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. Transactio Code (Instr. 8)	5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	;	ate	7. Titl Amou Under Secur (Instr.	int of rlying	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secut Bene Owne Follo Repo Trans (Instr
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

Reporting Owners

Reporting Owner Name / Address		Relationships							
1 0 0 0 0 0 0 0				Officer	Other				
Fennebresque Kim S COWEN GROUP, INC. 1221 AVENUE OF THE A NEW YORK, NY 10020	MERICAS	Х		Chairman , CEO & President					
Signatures									
Kim S Fennebresque	08/02/2007								
<u>**</u> Signature of	Date								

**Signature of Reporting 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) This does not include 1,043,345 shares of restricted stock directly owned by Mr. Fennebresque.

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.