Lasota Stephen Form 4 December 06, 2018

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB** 3235-0287 Number:

**OMB APPROVAL** 

Expires:

January 31,

2005

0.5

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if no longer subject to Section 16. Form 4 or

Check this box

Form 5 obligations may continue.

See Instruction

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

2. Issuer Name and Ticker or Trading

(Print or Type Responses)

1(b).

(Last)

(City)

1. Name and Address of Reporting Person \* Lasota Stephen

Symbol

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

COWEN INC. [COWN]

(First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year)

Director

10% Owner Other (specify

**COWEN INC., 599 LEXINGTON** 

(Street)

(State)

12/03/2018

12/03/2018

X\_ Officer (give title below) below) Chief Financial Officer

**AVENUE** 

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 More than One Reporting Person

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

NEW YORK, NY 10022

1.Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if (Instr. 3) (Month/Day/Year)

(Zip)

3. 4. Securities Acquired Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8)

5. Amount of 6. Ownership 7. Nature of Securities Beneficially (D) or Owned Indirect (I) Following (Instr. 4) Reported

D

Form: Direct Indirect Beneficial Ownership (Instr. 4)

Code V Amount (D)

(1)

F

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

2,378

Transaction(s) (Instr. 3 and 4) Price

204,719

Class A Common Stock

(A)

D

15.91

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SEC 1474 (9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

#### Edgar Filing: Lasota Stephen - Form 4

| 1. Title of | 2.          | 3. Transaction Date | 3A. Deemed         | 4.                | 5.         | 6. Date Exer        | cisable and        | 7. Title | e and    | 8. Price of | 9. Nu |
|-------------|-------------|---------------------|--------------------|-------------------|------------|---------------------|--------------------|----------|----------|-------------|-------|
| Derivative  | Conversion  | (Month/Day/Year)    | Execution Date, if | TransactionNumber |            | Expiration D        | ate                | Amou     | nt of    | Derivative  | Deriv |
| Security    | or Exercise |                     | any                | Code              | of         | (Month/Day/         | Year)              | Under    | lying    | Security    | Secui |
| (Instr. 3)  | Price of    |                     | (Month/Day/Year)   | (Instr. 8)        | Derivative | e                   |                    | Securi   | ties     | (Instr. 5)  | Bene  |
|             | Derivative  |                     |                    |                   | Securities |                     |                    | (Instr.  | 3 and 4) |             | Owne  |
|             | Security    |                     |                    |                   | Acquired   | cquired             |                    |          |          |             | Follo |
|             | ·           |                     |                    |                   | (A) or     |                     |                    |          |          |             | Repo  |
|             |             |                     |                    |                   | Disposed   |                     |                    |          |          |             | Trans |
|             |             | of (D)              |                    |                   |            |                     |                    |          |          | (Instr      |       |
|             |             |                     |                    | (Instr. 3,        |            |                     |                    |          |          |             | Ì     |
|             |             |                     | 4, and 5)          |                   |            |                     |                    |          |          |             |       |
|             |             |                     |                    |                   |            |                     |                    |          |          |             |       |
|             |             |                     |                    |                   |            |                     |                    |          | Amount   |             |       |
|             |             |                     |                    |                   |            | Date<br>Exercisable | Expiration<br>Date |          | or       |             |       |
|             |             |                     |                    |                   |            |                     |                    | Title    | Number   |             |       |
|             |             |                     |                    |                   |            |                     |                    |          | of       |             |       |
|             |             |                     |                    | Code V            | (A) (D)    |                     |                    |          | Shares   |             |       |

# **Reporting Owners**

Relationships Reporting Owner Name / Address

> Director 10% Owner Officer Other

Lasota Stephen COWEN INC. 599 LEXINGTON AVENUE NEW YORK, NY 10022

Chief Financial Officer

### **Signatures**

/s/ Stephen A. 12/06/2018 Lasota

\*\*Signature of Date 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).

Represents shares of the Issuer's Class A common stock withheld to satisfy tax withholding obligations upon the vesting of restricted (1) stock, in accordance with the terms of the related grant agreement, which was approved by the board of directors of the Issuer in accordance with Rule 16b-3 promulgated under the Securities Exchange Act of 1934.

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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