Brautigam Allen Form 4 September 19, 2018

### FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

OMB a

Number: 3235-0287

**OMB APPROVAL** 

Expires: January 31, 2005

0.5

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obligations

may continue.

Check this box

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

See Instruction 1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \*\*
Brautigam Allen

2. Issuer Name **and** Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to

Issuer

501 NORTH BROADWAY

STIFEL FINANCIAL CORP [SF]

(Check all applicable)

(Last) (First) (Middle)

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

(Month/Day/Year) 09/17/2018

\_\_\_\_ Director \_\_\_\_ 10% Owner
\_\_\_ Officer (give title \_\_X\_\_ Other (specify below)

2018

below)
Director, Branch Offices

(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 More than One Reporting

Person

ST. LOUIS, MO 63102

(City) (State) (Zip)

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

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

2A. Deemed 3.
Execution Date, if Transa

(Instr. 8)

3. 4. Securities
TransactionAcquired (A) or
Code Disposed of (D)

5. Amount of Securities Beneficially Owned Following 6. Ownership 7. Nature of Form: Direct Indirect (D) or Indirect Beneficial

(I) Ownership (Instr. 4) (Instr. 4)

(A) or

(Instr. 3, 4 and 5)

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

Code V Amount (D) Price (Instr. 3 and 4)

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

(Month/Day/Year)

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.

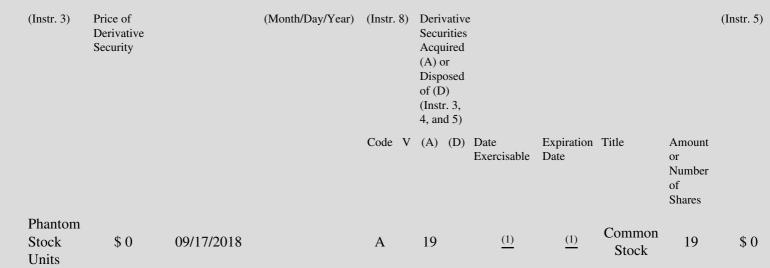
SEC 1474

(9-02)

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

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exercisable and	7. Title and Amount of	8. Price of
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	TransactionNumber		Expiration Date	<b>Underlying Securities</b>	Derivative
Security	or Exercise		any	Code	of	(Month/Day/Year)	(Instr. 3 and 4)	Security

#### Edgar Filing: Brautigam Allen - Form 4



#### **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Brautigam Allen 501 NORTH BROADWAY ST. LOUIS, MO 63102

Director, Branch Offices

### **Signatures**

/s/ Allen
Brautigam 09/17/2018

\*\*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).

Phantom stock units acquired pursuant to dividend equivalent rights in respect of previously reported phantom stock units (the "Dividend Equivalent PSUs"). The Dividend Equivalent PSUs accrued in connection with a cash dividend paid by the issuer on the issuer's common stock. The Dividend Equivalent PSUs will vest proportionately with the phantom stock units to which they relate. The Dividend Equivalent PSUs convert to the issuer's common stock on a one-for-on basis.

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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