

STIFEL FINANCIAL CORP

Form 4

October 01, 2007

FORM 4**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

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

OMB APPROVAL

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
LEFTON ROBERT E

(Last) (First) (Middle)

61 LADUE ESTATES DRIVE

(Street)

ST. LOUIS, MO 63141

(City) (State) (Zip)

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

STIFEL FINANCIAL CORP [SF]

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

09/27/2007

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 Indirect Beneficial Ownership (Instr. 4)
Common Stock	09/27/2007		M	4,340	A \$ 8.1207	20,361	D
Common Stock	09/27/2007		F	608	D \$ 57.91	19,753	D

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
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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)**

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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)		8 D S (
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Stock Option (Option to Buy)	<u>(1)</u>	09/27/2007		M	4,340	<u>(2)</u>	<u>(3)</u>	Common Stock	4,340	
Phantom Stock Units	\$ 0					01/29/2002	01/29/2012	Common Stock	128	
Phantom Stock Units	\$ 0					05/09/2002	05/09/2012	Common Stock	97	
Phantom Stock Units	\$ 0					10/28/2002	10/28/2012	Common Stock	199	
Phantom Stock Units	\$ 0					01/30/2003	01/30/2013	Common Stock	208	
Phantom Stock Units	\$ 0					03/03/2003	03/03/2013	Common Stock	541	
Phantom Stock Units	\$ 0					04/01/2003	04/01/2013	Common Stock	179	
Phantom Stock Units	\$ 0					05/01/2003	05/01/2013	Common Stock	172	
Phantom Stock Units	\$ 0					05/12/2003	05/12/2013	Common Stock	195	
Phantom Stock Units	\$ 0					06/01/2003	06/01/2013	Common Stock	166	
Phantom Stock	\$ 0					07/01/2003	07/01/2013	Common Stock	168	

Units						
Phantom Stock Units	\$ 0	08/01/2003	08/01/2013	Common Stock	171	
Phantom Stock Units	\$ 0	08/06/2003	08/06/2013	Common Stock	425	
Phantom Stock Units	\$ 0	09/01/2003	09/01/2013	Common Stock	161	
Phantom Stock Units	\$ 0	10/01/2003	10/01/2013	Common Stock	863	
Phantom Stock Units	\$ 0	01/01/2004	01/01/2014	Common Stock	618	
Phantom Stock Units	\$ 0	<u>(4)</u>	<u>(5)</u>	Common Stock	7,807	
Stock Option (Option to Buy)	\$ 7.8	<u>(6)</u>	01/02/2012	Common Stock	1,333	
Stock Option (Option to Buy)	\$ 8.7	<u>(7)</u>	01/30/2013	Common Stock	1,333	
Stock Option (Option to Buy)	\$ 13.89	<u>(8)</u>	02/03/2014	Common Stock	1,333	
Stock Option (Option to Buy)	\$ 20.22	<u>(9)</u>	01/03/2015	Common Stock	1,000	
Stock Option (Option to Buy)	\$ 38.25	<u>(10)</u>	01/03/2016	Common Stock	1,000	

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other

LEFTON ROBERT E
61 LADUE ESTATES DRIVE X
ST. LOUIS, MO 63141

Signatures

By: Forrest M. Smith For: Robert E.
Lefton

10/01/2007

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

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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