Edgar Filing: LADENBURG THALMANN FINANCIAL SERVICES INC - Form 4

LADENBURG THALMANN FINANCIAL SERVICES INC

Form 4

November 28, 2007

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

OMB Number:

3235-0287

0.5

January 31, Expires: 2005

OMB APPROVAL

Estimated average burden hours per

response...

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

obligations

may continue.

See Instruction

Check this box

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

1(b).

Common

Common

Stock

Stock

11/26/2007

11/27/2007

(Print or Type Responses)

			2. Issuer Name and Ticker or Trading Symbol LADENBURG THALMANN FINANCIAL SERVICES INC [LTS]						5. Relationship of Reporting Person(s) to Issuer (Check all applicable)			
(Last) 4400 BISC	(First) AYNE BOULEV	(Middle)		of Earliest Transaction /Day/Year) /2007					_X_ Director _X_ 10% Owner Officer (give title Other (specify below)			
				Amendment, Date Original (Month/Day/Year)					6. Individual or Joint/Group Filing(Check Applicable Line) Form filed by One Reporting Person _X_ Form filed by More than One Reporting Person			
(City)	(State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owne								cially Owned			
1.Title of Security (Instr. 3)	f 2. Transaction Date 2A. Deemed (Month/Day/Year) Execution Date, if			Code (Instr. 3, 4 and 5)					5. Amount of Securities Ownership Indirect Beneficially Form: Beneficial Owned Direct (D) Ownership Following or Indirect (I) Transaction(s) (Instr. 4) (Instr. 3 and 4)			
Common Stock	11/26/2007			Р		4,753	A	\$ 1.88	6,465,752	I	Frost Gamma Investments Trust (1) Frost	

P

P

99

6,010

6,465,851

6,471,861

I

Ι

Gamma

Frost

Gamma

Investments Trust (1)

Investments Trust (1)

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Common Stock	11/27/2007	P	5,400	A	\$ 1.95	6,477,261	I	Frost Gamma Investments Trust (1)
Common Stock	11/27/2007	P	300	A	\$ 1.96	6,477,561	I	Frost Gamma Investments Trust (1)
Common Stock	11/27/2007	P	27,161	A	\$ 1.97	6,504,722	I	Frost Gamma Investments Trust (1)
Common Stock	11/27/2007	P	6,277	A	\$ 1.98	6,510,999	I	Frost Gamma Investments Trust (1)
Common Stock						43,013,431	I	Frost Nevada Investments Trust (2)

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 displays a currently valid OMB control number.

SEC 1474 (9-02)

> 9. Nu Deriv Secur Bene Own Follo Repo Trans (Instr

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. Transact Code (Instr. 8)	5. ionNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	7. Titl Amou Under Securi (Instr.	nt of lying	8. Price of Derivative Security (Instr. 5)
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	

Reporting Owners

Reporting Owner Name / Address

Relationships

Reporting Owners 2

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Director 10% Owner Officer Other
FROST PHILLIP MD ET AL
4400 BISCAYNE BOULEVARD X X
MIAMI, FL 33137
Frost Gamma Investment Trust
4400 BISCAYNE BOULEVARD
15TH FLOOR
MIAMI, FL 33137

Signatures

/s/ Phillip Frost, M.D.

**Signature of Reporting Person

Date

FROST GAMMA INVESTMENTS TRUST by: /s/ Phillip Frost, M.D.,

Trustee

**Signature of Reporting Person

Date

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).
- These securities are held by Frost Gamma Investments Trust, of which the Reporting Person is the trustee and Frost Gamma, L.P. is the sole and exclusive beneficiary. The Reporting Person is one of two limited partners of Frost Gamma, L.P. The general partner of Frost Gamma, L.P. is Frost Gamma, Inc., and the sole shareholder of Frost Gamma, Inc. is Frost-Nevada Corporation. The Reporting Person is also the sole shareholder of Frost-Nevada Corporation.
- These securities are held by Frost Nevada Investments Trust, of which the Reporting Person is the trustee and Frost-Nevada, L.P. is the sole and exclusive beneficiary. The Reporting Person is one of five limited partners of Frost-Nevada, L.P. and the sole shareholder of Frost-Nevada Corporation, the sole general partner of Frost-Nevada, L.P.

Remarks:

Exhibit 99--Joint Filer Information

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.

Signatures 3