

BAER ROBERT J
Form 4
July 23, 2009

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

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(Print or Type Responses)

1. Name and Address of Reporting Person *
BAER ROBERT J

(Last) (First) (Middle)

UNIGROUP INC, ONE PREMIER
DR

(Street)

FENTON, MO 63026

(City) (State) (Zip)

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

STIFEL FINANCIAL CORP [SF]

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

07/22/2009

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)
			Code	V	Amount	(A) or (D)	Price			
Common Stock	07/22/2009		M		142	A	\$ 0 142		D	
Common Stock	07/22/2009		M		624	A	\$ 0 766		D	
Common Stock	07/22/2009		M		67	A	\$ 0 833		D	
Common Stock	07/22/2009		M		575	A	\$ 0 1,408		D	
Common Stock	07/22/2009		M		12,693	A	\$ 0 14,101		D	

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

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(9-02)

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. 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)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Phantom Stock Units	\$ 0	07/22/2009		M	142	10/01/2003	10/01/2013	Common Stock	142
Phantom Stock Units	\$ 0	07/22/2009		M	624	01/01/2004	01/01/2014	Common Stock	624
Phantom Stock Units	\$ 0	07/22/2009		M	67	01/01/2004	01/01/2014	Common Stock	67
Phantom Stock Units	\$ 0	07/22/2009		M	575	04/01/2004	<u>(1)</u>	Common Stock	575
Phantom Stock Units	\$ 0	07/22/2009		M	12,693	04/01/2004 ⁽²⁾	<u>(1)</u>	Common Stock	12,693
Stock Option (Option to Buy)	\$ 8.7					<u>(3)</u>	01/30/2013	Common Stock	1,199
Stock Option (Option to Buy)	\$ 10.9125					<u>(4)</u>	05/09/2012	Common Stock	2,701
Stock Option (Option to Buy)	\$ 13.89					<u>(5)</u>	02/03/2014	Common Stock	1,599

Stock Option (Option to Buy)	\$ 20.22	<u>(6)</u>	01/03/2015	Common Stock	1,500
Stock Option (Option to Buy)	\$ 38.25	<u>(7)</u>	01/03/2016	Common Stock	1,500

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BAER ROBERT J UNIGROUP INC ONE PREMIER DR FENTON, MO 63026	X			

Signatures

By: David M. Minnick For: Robert J. Baer 07/23/2009

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