Edgar Filing: BROADPOINT GLEACHER SECURITIES GROUP, INC. - Form 4

BROADPOINT GLEACHER SECURITIES GROUP, INC.

Form 4 June 18, 2009

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

OMB

OMB APPROVAL

Number:

3235-0287

Expires:

January 31, 2005

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obligations

Check this box

may continue.

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 * MANDEL VICTOR E

2. Issuer Name and Ticker or Trading

Symbol

BROADPOINT GLEACHER SECURITIES GROUP, INC.

[BPSG]

(Last) (First) (Middle) 3. Date of Earliest Transaction

(Month/Day/Year) 06/16/2009

5. Relationship of Reporting Person(s) to

Issuer

(Check all applicable)

X_ Director Officer (give title below)

10% Owner Other (specify

BROADPOINT GLEACHER SECURITIES GROUP INC, 12 EAST 49TH STREET, 31ST **FLOOR**

> (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

D

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

NEW YORK, NY 10017

(City)

Common

Stock

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

(Zip)

(State)

06/16/2009

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

4. Securities Acquired 5. Amount of Securities Beneficially Owned **Following**

6. Ownership 7. Nature of Form: Direct Indirect (D) or Beneficial Indirect (I) (Instr. 4)

(A) or Code V

(1)

Amount (D) Price 14,940

14,940

<u>(1)</u>

Reported

Transaction(s)

(Instr. 3 and 4)

Ownership (Instr. 4)

SEC 1474

(9-02)

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

A

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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 Exerc	cisable and	7. Title	and	8. Price of	9. Nu
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	TransactionNumber		Expiration D	ate	Amount of		Derivative	Deriv
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Underly	ing	Security	Secui
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8) Derivative				Securities		(Instr. 5)	Bene
	Derivative				Securities Acquired (A) or			(Instr. 3	and 4)		Own
	Security										Follo
	•										Repo
					Disposed						Trans
					of (D)						(Instr
					(Instr. 3, 4, and 5)						
								Λ.	mount		
									mount		
						Date	Expiration Date	Title N	r Jumber		
						Exercisable		Title Numb			
				C + V	(A) (D)						
			Code V (A) (D)					S	hares		

Reporting Owners

Relationships Reporting Owner Name / Address

> 10% Owner Officer Other Director

MANDEL VICTOR E BROADPOINT GLEACHER SECURITIES GROUP INC 12 EAST 49TH STREET, 31ST FLOOR NEW YORK, NY 10017



Signatures

/s/ Patricia A. Arciero-Craig, Attorney-in-fact, for Victor E. Mandel

06/18/2009

**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).

The shares acquired as reported in this Form 4 are restricted shares of common stock of the issuer granted under the Company's 2003

(1) Non-Employee Directors' Stock Plan, which vest in three equal annual installments of approximately one third of the total grant over a three-year period, commencing on 6/16/2010 through 6/16/2012.

Remarks:

Remarks:

Exhibit List

Exhibit 24-Power of Attorney

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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