

STIFEL FINANCIAL CORP

Form 4

May 30, 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 *
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)

05/14/2007

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			Code V	Amount (D) Price	4,799	D	

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

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information contained in this form are not
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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. Amount or Number of Shares
				Code	V	(A)	(D)	Title	
Phantom Stock Units	\$ 0	05/14/2007		A		1,489	<u>(1)</u>	<u>(2)</u>	Common Stock 1,489
Phantom Stock Units	\$ 0						05/01/2002	05/01/2012	Common Stock 156
Phantom Stock Units	\$ 0						05/09/2002	05/09/2012	Common Stock 92
Phantom Stock Units	\$ 0						06/01/2002	06/01/2012	Common Stock 154
Phantom Stock Units	\$ 0						07/01/2002	07/01/2012	Common Stock 165
Phantom Stock Units	\$ 0						08/01/2002	08/01/2012	Common Stock 172
Phantom Stock Units	\$ 0						09/03/2002	09/03/2012	Common Stock 161
Phantom Stock Units	\$ 0						10/01/2002	10/01/2012	Common Stock 165
Phantom Stock Units	\$ 0						10/28/2002	10/28/2012	Common Stock 109
Phantom Stock Units	\$ 0						11/01/2002	11/01/2012	Common Stock 174
Phantom Stock Units	\$ 0						12/02/2002	12/02/2012	Common Stock 177

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Phantom Stock Units	\$ 0	01/02/2003	01/02/2013	Common Stock	189
Phantom Stock Units	\$ 0	01/30/2003	01/30/2013	Common Stock	115
Phantom Stock Units	\$ 0	02/03/2003	02/03/2013	Common Stock	177
Phantom Stock Units	\$ 0	03/03/2003	03/03/2013	Common Stock	175
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	106
Phantom Stock Units	\$ 0	06/01/2003	06/01/2013	Common Stock	166
Phantom Stock Units	\$ 0	07/01/2003	07/01/2013	Common Stock	168
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	340
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	785
Phantom Stock Units	\$ 0	01/01/2004	01/01/2014	Common Stock	562
Stock Option	\$ 8.7	<u>(3)</u>	01/30/2013	Common Stock	799

(Option
to Buy)Stock
Option
(Option
to Buy)

\$ 10.9125

(4)

05/09/2012

Common
Stock

4,001

Stock
Option
(Option
to Buy)

\$ 13.89

(5)

02/03/2014

Common
Stock

1,066

Stock
Option
(Option
to Buy)

\$ 20.22

(6)

01/03/2015

Common
Stock

1,000

Stock
Option
(Option
to Buy)

\$ 38.25

(7)

01/03/2016

Common
Stock

1,000

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: Forrest M. Smith For: Robert
J. Baer

05/30/2007

**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) Units vest quarterly over a one year period.

(2) No expiration date for these Units.

(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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