

OATES JAMES M
Form 4
January 15, 2008

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

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

(Print or Type Responses)

1. Name and Address of Reporting Person *
OATES JAMES M

2. Issuer Name and Ticker or Trading Symbol
STIFEL FINANCIAL CORP [SF]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
522 LAKESHORE DRIVE
(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
01/11/2008

Director 10% Owner
 Officer (give title below) Other (specify below)

ELKINS, NH 03233
(City) (State) (Zip)

4. If Amendment, Date Original Filed(Month/Day/Year)

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. Code	4. Securities		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 Ownership (Instr. 4)
				Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	Price			
Common Stock	01/11/2008		M	V	200	A \$ 0 61,332	D	
Common Stock	01/11/2008		M		140	A \$ 0 61,472	D	
Common Stock	01/11/2008		M		35	A \$ 0 61,507	D	
Common Stock	01/11/2008		M		145	A \$ 0 61,652	D	
Common Stock	01/11/2008		M		36	A \$ 0 61,688	D	
	01/11/2008		M		174	A \$ 0 61,862	D	

Edgar Filing: OATES JAMES M - Form 4

Common Stock								
Common Stock	01/11/2008	M	131	A	\$ 0	61,993	D	
Common Stock	01/11/2008	M	32	A	\$ 0	62,025	D	
Common Stock	01/11/2008	M	156	A	\$ 0	62,181	D	
Common Stock	01/11/2008	M	166	A	\$ 0	62,347	D	
Common Stock	01/11/2008	M	154	A	\$ 0	62,501	D	
Common Stock	01/11/2008	M	132	A	\$ 0	62,633	D	
Common Stock	01/11/2008	M	33	A	\$ 0	62,666	D	
Common Stock	01/11/2008	M	124	A	\$ 0	62,790	D	
Common Stock	01/11/2008	M	31	A	\$ 0	62,821	D	
Common Stock	01/11/2008	M	137	A	\$ 0	62,958	D	
Common Stock	01/11/2008	M	35	A	\$ 0	62,993	D	
Common Stock	01/11/2008	M	161	A	\$ 0	63,154	D	
Common Stock	01/11/2008	M	132	A	\$ 0	63,286	D	
Common Stock	01/11/2008	M	33	A	\$ 0	63,319	D	
Common Stock	01/11/2008	M	159	A	\$ 0	63,478	D	
Common Stock	01/11/2008	M	40	A	\$ 0	63,518	D	
Common Stock	01/11/2008	M	174	A	\$ 0	63,692	D	
Common Stock	01/11/2008	M	177	A	\$ 0	63,869	D	
Common Stock						6,266	I	by Spouse

Edgar Filing: OATES JAMES M - Form 4

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)

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)	8. F. Derivative Securities (Instr. 3 and 4)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Phantom Stock Units	\$ 0	01/11/2008		M	200	01/02/2002	01/02/2012	Common Stock	200
Phantom Stock Units	\$ 0	01/11/2008		M	140	01/29/2002	01/29/2012	Common Stock	140
Phantom Stock Units	\$ 0	01/11/2008		M	35	01/29/2002	01/29/2012	Common Stock	35
Phantom Stock Units	\$ 0	01/11/2008		M	145	02/01/2002	02/01/2012	Common Stock	145
Phantom Stock Units	\$ 0	01/11/2008		M	36	02/01/2002	02/01/2012	Common Stock	36
Phantom Stock Units	\$ 0	01/11/2008		M	174	03/01/2002	03/01/2012	Common Stock	174
Phantom Stock Units	\$ 0	01/11/2008		M	131	04/01/2002	04/01/2012	Common Stock	131
Phantom Stock Units	\$ 0	01/11/2008		M	32	04/01/2002	04/01/2012	Common Stock	32

Edgar Filing: OATES JAMES M - Form 4

Phantom Stock Units	\$ 0	01/11/2008	M	156	05/01/2002	05/01/2012	Common Stock	156
Phantom Stock Units	\$ 0	01/11/2008	M	166	05/09/2002	05/09/2012	Common Stock	166
Phantom Stock Units	\$ 0	01/11/2008	M	154	06/01/2002	06/01/2012	Common Stock	154
Phantom Stock Units	\$ 0	01/11/2008	M	132	07/01/2002	07/01/2012	Common Stock	132
Phantom Stock Units	\$ 0	01/11/2008	M	33	07/01/2002	07/01/2012	Common Stock	33
Phantom Stock Units	\$ 0	01/11/2008	M	124	07/23/2002	07/23/2012	Common Stock	124
Phantom Stock Units	\$ 0	01/11/2008	M	31	07/23/2002	07/23/2012	Common Stock	31
Phantom Stock Units	\$ 0	01/11/2008	M	137	08/01/2002	08/01/2012	Common Stock	137
Phantom Stock Units	\$ 0	01/11/2008	M	35	08/01/2002	08/01/2012	Common Stock	35
Phantom Stock Units	\$ 0	01/11/2008	M	161	09/03/2002	09/03/2012	Common Stock	161
Phantom Stock Units	\$ 0	01/11/2008	M	132	10/01/2002	10/01/2012	Common Stock	132
Phantom Stock Units	\$ 0	01/11/2008	M	33	10/01/2002	10/01/2012	Common Stock	33
Phantom Stock Units	\$ 0	01/11/2008	M	159	10/28/2002	10/28/2012	Common Stock	159
Phantom Stock Units	\$ 0	01/11/2008	M	40	10/28/2002	10/28/2012	Common Stock	40
Phantom Stock	\$ 0	01/11/2008	M	174	11/01/2002	11/01/2012	Common Stock	174

Units									
Phantom Stock Units	\$ 0	01/11/2008	M	177	12/02/2002	12/02/2012	Common Stock	177	
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	208	
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	

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
OATES JAMES M 522 LAKESHORE DRIVE ELKINS, NH 03233	X			

Signatures

By: Forrest M. Smith For: James M.
Oates 01/15/2008

__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).

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.