#### Edgar Filing: WEISEL THOMAS W - Form 3

WEISEL THOMAS W Form 3

August 13, 2010

### FORM 3

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

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**OMB APPROVAL** 

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INITIAL STATEMENT OF 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 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement STIFEL FINANCIAL CORP [SF] WEISEL THOMAS W (Month/Day/Year) 08/03/2010 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) ONE MONTGOMERY (Check all applicable) STREET, SUITE 3700 (Street) 6. Individual or Joint/Group 10% Owner \_X\_ Director Officer Other Filing(Check Applicable Line) (give title below) (specify below) \_X\_ Form filed by One Reporting Person SAN Form filed by More than One FRANCISCO. CAÂ 94104 Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 4. Nature of Indirect Beneficial 1. Title of Security 2. Amount of Securities Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) Â D Common Stock 239,037 Common Stock 104,457 (1) I by Corporation 12,154 (2) Common Stock I by Trust Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) 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.

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security
(Instr. 4)

2. Date Exercisable and 3. Title and Amount of 4. 5. 6. Nature of Indirect
Expiration Date (Month/Day/Year)

Securities Underlying Conversion Ownership

Hending Conversion Ownership

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			Derivative Se (Instr. 4)	curity	or Exercise Price of	Form of Derivative	· · · · · · · · · · · · · · · · · · ·
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Derivative Security	Security: Direct (D) or Indirect (I) (Instr. 5)	
Phantom Stock Units	07/01/2013	(3)	Common Stock	103,696	\$0	D	Â

### **Reporting Owners**

	$\begin{array}{c} \textbf{Relationships} \\ \textbf{Director} & \frac{10\%}{\textbf{Owner}} & \textbf{Officer} \end{array}$		nships		
Reporting Owner Name / Address			Officer	Other	
WEISEL THOMAS W					
ONE MONTGOMERY STREET, SUITE 3700	ÂΧ	Â	Â	Â	
SAN FRANCISCO, CA 94104					

## **Signatures**

By: David M. Minnick For: Thom
Weisel

08/13/2010

\*\*Signature of Reporting Person Date

### **Explanation of Responses:**

- \* If the form is filed by more than one reporting person, see Instruction 5(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) Reflects shares of common stock owned by Ross Investments Inc., an entity wholly owned by Mr. Weisel.
- (2) These shares of common stock are owned by Emily Carroll, Mr. Weisel's wife, as trustee of Kipling Weisel Trust and Olivia Monet Weisel Trust. Mr. Weisel disclaims beneficial ownership of such securities.
- (3) No expiration date for these Units.

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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