Dolan James J. Form 4 October 31, 2018

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

Check this box if no longer subject to Section 16. Form 4 or

## 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

1(b).

Common

Common

Stock

Stock

Form 5

obligations

may continue.

See Instruction

(Print or Type Responses)

1. Name and Address of Reporting Person \*

2. Issuer Name and Ticker or Trading Dolan James J. Issuer Symbol TriState Capital Holdings, Inc. [TSC] (Check all applicable) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) X\_ Director 10% Owner Other (specify Officer (give title ONE OXFORD CENTRE, 301 10/26/2018 below) **GRANT STREET, SUITE 2700** (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) \_X\_ Form filed by One Reporting Person Form filed by More than One Reporting PITTSBURGH, PA 15219 (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of 2. Transaction Date 2A. Deemed 4. Securities Acquired 5. Amount of 7. Nature of 3. Transaction(A) or Disposed of (D) Ownership Indirect Security (Month/Day/Year) Execution Date, if Securities (Instr. 3) Code (Instr. 3, 4 and 5) Beneficially Form: Beneficial (Month/Day/Year) (Instr. 8) Owned Direct (D) Ownership Following or Indirect (Instr. 4) Reported (I) (A) Transaction(s) (Instr. 4) or (Instr. 3 and 4) Code V (D) Price Amount \$ Common 10/26/2018 P 6,000 A 24.34 31,632 (2)  $D^{(3)}$ Stock (1) \$ Common P 24.88  $D^{(3)}$ 10/29/2018 2,000 A 33,632 Stock (4)

Charles

Co, Inc.,

Scwab and

**OMB APPROVAL** 

3235-0287

January 31,

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Number:

Expires:

response...

5. Relationship of Reporting Person(s) to

12,125 (5)

2,500

D (6)

I

Estimated average

burden hours per

Custodian of James J Dolan Roth Contributory

IRA

Common Stock

3,200

I

Owned by spouse  $\frac{(7)}{}$ 

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)

9. Nu

Deriv

Secu

Bene Own Follo Repo Trans (Instr

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. Transac Code (Instr. 8	5. tionNumber of ) Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	7. Title Amoun Underly Securit (Instr. 3	t of ying	8. Price of Derivative Security (Instr. 5)	
				Code '	V (A) (D)	Date Exercisable	Expiration Date	Title 1	Amount or Number of Shares		

# **Reporting Owners**

	Relationships						
Reporting Owner Name / Address	Director	10% Owner	Officer	Other			
Dolan James J. ONE OXFORD CENTRE 301 GRANT STREET, SUITE 2700 PITTSBURGH, PA 15219	X						

# **Signatures**

/s/ Karla Villatoro de Friedman, General Counsel of TriState Capital Bank, Attorney-in-Fact

10/31/2018

\*\*Signature of Reporting Person

Date

Reporting Owners 2

# **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 price reported in Column 4 is the weighted average price of the trades on October 26, 2018. The shares were sold in multiple transactions at prices ranging from \$24.00 to \$24.90 per share. The reporting person undertakes to provide to TriState Capital Holdings,

  [1] Inc. (the "Issuer"), pay acquirity holder of the Issuer or the steff of the Sequerities and Evaluate Capital Holdings, the "SEC"), upon request.
- (1) Inc. (the "Issuer"), any security holder of the Issuer or the staff of the Securities and Exchange Commission (the "SEC"), upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- The reporting person's prior Form 4 over reported this amount by 1,500 shares. The number reported herein conforms to the reporting (2) person's holdings disclosed in the Definitive Proxy Statement filed by TriState Capital Holdings, Inc. on April 16, 2018 (the "2018 Proxy Statement").
- (3) Shares held jointly of record by the Reporting Person and his spouse.
  - The price reported in Column 4 is the weighted average price of the trades on October 29, 2018. The shares were sold in multiple transactions at prices ranging from \$24.85 to \$24.90 per share. The reporting person undertakes to provide to the Issuer, any security
- holder of the Issuer or the staff of the SEC, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (5) The reporting person's prior Form 4 over reported this amount by 125 shares. The number reported herein conforms to the reporting person's holdings disclosed in the 2018 Proxy Statement.
- (6) Shares held individually by Reporting Person
  - The Reporting Person disclaims beneficial ownership of these securities except to the extent of any indirect pecuniary interest therein.
- (7) This Form shall not be deemed an admission that he is a beneficial owner of any securities for purposes of Section 16 of the Securities Exchange Act of 1934 or for any other purpose.

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.