

OATES JAMES M
Form 4
January 15, 2008

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 *
OATES JAMES M

(Last) (First) (Middle)

522 LAKESHORE DRIVE

(Street)

ELKINS, NH 03233

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol

STIFEL FINANCIAL CORP [SF]

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

01/11/2008

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	01/11/2008		M	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	

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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

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

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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)

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 Der Sec (Ins
				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

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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.

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