Edgar Filing: ENTERPRISE FINANCIAL SERVICES CORP - Form 4

ENTERPRISE FINANCIAL SERVICES CORP

Form 4

February 27, 2014

FORM 4

Check this box

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

2. Issuer Name and Ticker or Trading

OMB Number:

3235-0287

Expires:

5. Relationship of Reporting Person(s) to

Issuer

January 31, 2005

0.5

Estimated average burden hours per

OMB APPROVAL

response...

if no longer subject to Section 16. Form 4 or Form 5

obligations

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

may continue. See Instruction

30(h) of the Investment Company Act of 1940

Symbol

1(b).

Stock

(Print or Type Responses)

LEUCK RICHARD C

1. Name and Address of Reporting Person *

				ENTERPRISE FINANCIAL SERVICES CORP [EFSC]					(Check all applicable)				
	(Last)	(First)	(Middle)	3. Date of Earliest Transaction (Month/Day/Year)					Director 10% Owner Nother (specify below)				
150 N. MERAMEC			02/25/2014						President				
(Street)				4. If Amendment, Date Original Filed(Month/Day/Year)						6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting			
	ST. LOUIS,	MO 63105								Person			
	(City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned										lly Owned		
	1.Title of Security (Instr. 3)	2. Transaction Da (Month/Day/Year	r) Execution		3. Transa Code (Instr.	8)	4. Securi on(A) or Di (Instr. 3,	ispose 4 and (A) or	d of (D)	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	02/25/2014			A(1)		6,192	A	\$ 0	10,379	D		
	Common Stock	02/25/2014			F		2,036 (2)	D	\$ 18.29	8,343	D		
	Common Stock									34,149	I	By Trust	
	Common Stock									7,000	I	Self Ira	
	Common Stock									8,500	I	Spouse	

Trust

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Common Stock

18,664

 $D^{(3)}$

(9-02)

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

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

1. Title of	2.	3. Transaction Date		4.	5.	6. Date Exercisab	le and	7. Title and A	
Derivative	Conversion	(Month/Day/Year)	Execution Date, if			Expiration Date	<u>, </u>	Underlying S	
Security (Instr. 3)	or Exercise Price of Derivative Security		any (Month/Day/Year)	Code (Instr. 8)	of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5))	(Instr. 3 and	4)
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Share
Restricted Share Units	<u>(4)</u>					<u>(5)</u>	(5)	Common Stock	11,313
Stock Settled Stock Appreciation	\$ 20.63					12/15/2008(6)	06/13/2018	Common Stock	5,000

Reporting Owners

Reporting Owner Name / Address	Relationships						
• 0	Director	10% Owner	Officer	Other			
LEUCK RICHARD C 150 N. MERAMEC ST. LOUIS, MO 63105			President				

Signatures

Rights

/s/ Richard C. 02/27/2014 Leuck **Signature of Date Reporting Person

2 Reporting Owners

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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) The shares of common stock were awarded pursuant to the Company's 2013 Stock Incentive Plan.
- (2) Withholding of stock to satisfy tax withholding obligation on issuance of common stock.
- (3) These shares are held jointly with spouse.
- (4) The RSUs were granted pursuant to the Company's 2002 Stock Incentive Plan. Each RSU represents the right to receive one share of Common Stock, subject to adjustment as provided in the Grant Agreement.
- The RSUs vest at a rate of 20% annually over five years, subject to continued employment of the reporting person. Vesting occurs on (5) December 15 of each year, commencing in the calendar year of the grant. On each vesting date, for each RSU vesting on such date, the reporting person will receive one share of Common Stock.
- Each SSAR consists of the right to receive an amount, in common stock, equal to the excess of the fair market value of a share of common stock on the date of exercise over the exercise price of the SSAR. The SSARs vest at a rate of 20% annually over five years, subject to continued employment of the reporting person. Vesting occurs on December 15 of each year, commencing December 15, 2008.

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.