

OATES JAMES M  
Form 4  
February 13, 2007

**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)  
02/12/2007

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. 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 Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price
Common Stock	02/12/2007		M		200	A	\$ 38.25
Common Stock	02/12/2007		M		200	A	\$ 20.22
Common Stock	02/12/2007		M		267	A	\$ 13.89
Common Stock	02/12/2007		M		266	A	\$ 8.7
Common Stock	02/12/2007		M		266	A	\$ 7.8
					6,266	I	by Spouse

Edgar Filing: OATES JAMES M - Form 4

Common  
Stock

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. Derivative Securities (Instr. 3 and 4)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option (Option to Buy)	\$ 7.8	02/12/2007		M	266	<u>(1)</u> 01/02/2012	01/02/2012	Common Stock	266
Stock Option (Option to Buy)	\$ 8.7	02/12/2007		M	266	<u>(2)</u> 01/30/2013	01/30/2013	Common Stock	266
Stock Option (Option to Buy)	\$ 13.89	02/12/2007		M	267	<u>(3)</u> 02/03/2014	02/03/2014	Common Stock	267
Stock Option (Option to Buy)	\$ 20.22	02/12/2007		M	200	<u>(4)</u> 01/03/2015	01/03/2015	Common Stock	200
Stock Option (Option to Buy)	\$ 38.25	02/12/2007		M	200	<u>(5)</u> 01/03/2016	01/03/2016	Common Stock	200
Phantom Stock	\$ 0					01/02/2002	01/02/2012	Common Stock	200

## Edgar Filing: OATES JAMES M - Form 4

Units						
Phantom Stock Units	\$ 0		01/29/2002	01/29/2012	Common Stock	175
Phantom Stock Units	\$ 0		02/01/2002	02/01/2012	Common Stock	181
Phantom Stock Units	\$ 0		03/01/2002	03/01/2012	Common Stock	174
Phantom Stock Units	\$ 0		04/01/2002	04/01/2012	Common Stock	163
Phantom Stock Units	\$ 0		05/01/2002	05/01/2012	Common Stock	156
Phantom Stock Units	\$ 0		05/09/2002	05/09/2012	Common Stock	166
Phantom Stock Units	\$ 0		06/01/2002	06/01/2012	Common Stock	154
Phantom Stock Units	\$ 0		07/01/2002	07/01/2012	Common Stock	165
Phantom Stock Units	\$ 0		07/23/2002	07/23/2012	Common Stock	155
Phantom Stock Units	\$ 0		08/01/2002	08/01/2012	Common Stock	172
Phantom Stock Units	\$ 0		09/03/2002	09/03/2012	Common Stock	161
Phantom Stock Units	\$ 0		10/01/2002	10/01/2012	Common Stock	165
Phantom Stock Units	\$ 0		10/28/2002	10/28/2012	Common Stock	199
Phantom Stock Units	\$ 0		11/01/2002	11/01/2012	Common Stock	174

Edgar Filing: OATES JAMES M - Form 4

Phantom Stock Units	\$ 0	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
Phantom Stock Units	\$ 0	05/12/2003	05/12/2013	Common Stock	195
Phantom Stock Units	\$ 0	06/01/2013	06/01/2013	Common Stock	166
Phantom Stock Units	\$ 0	07/01/2003	07/01/2013	Common Stock	168

## 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 02/13/2007

\*\*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).

(1) Options vest in 20% increments on 1/2/03, 1/2/04, 1/2/05, 1/2/06 and 1/2/07.

(2) Currently exercisable.

(3) Options vest in 20% increments yearly from the grant date.

(4) Options vest in 20 percent increments on 1/3/06, 1/3/07, 1/3/08, 1/3/09 and 1/3/10.

(5) Options vest in 20% increments on 1/3/07, 1/3/08, 1/3/09, 1/3/10 and 1/3/11.

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.