

E TRADE FINANCIAL CORP

Form 3

November 10, 2008

FORM 3UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIESFiled 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 *

Â Curcio Michael John

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

11/03/2008

3. Issuer Name **and** Ticker or Trading Symbol
E TRADE FINANCIAL CORP [ETFC]4. Relationship of Reporting
Person(s) to Issuer5. If Amendment, Date Original
Filed(Month/Day/Year)

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

Managing Director, Americas

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting
Person☐ Form filed by More than One
Reporting PersonC/O E*TRADE FINANCIAL
CORPORATION,Â 135 E. 57TH
STREET

(Street)

NEW YORK,Â NYÂ 10022

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned1. Title of Security
(Instr. 4)2. Amount of Securities
Beneficially Owned
(Instr. 4)3. Ownership
Form:
Direct (D)
or Indirect
(I)
(Instr. 5)4. Nature of Indirect Beneficial
Ownership
(Instr. 5)

Common Stock

218,070 ⁽¹⁾

D

Â

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

SEC 1473 (7-02)

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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
Expiration Date
(Month/Day/Year)3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)4. Conversion
or Exercise
Price of
Derivative5. Ownership
Form of
Derivative
Security:6. Nature of Indirect
Beneficial Ownership
(Instr. 5)

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Stock Option	Â <u>(2)</u>	10/04/2012	Common Stock	100,000	\$ 4.07	D	Â
Stock Option	Â <u>(2)</u>	03/14/2013	Common Stock	70,000	\$ 3.8	D	Â
Stock Option	Â <u>(2)</u>	11/24/2013	Common Stock	25,000	\$ 10.395	D	Â
Stock Option	Â <u>(2)</u>	02/06/2014	Common Stock	75,000	\$ 13.89	D	Â
Stock Option	Â <u>(2)</u>	02/20/2014	Common Stock	20,000	\$ 14.435	D	Â
Stock Option	Â <u>(3)</u>	02/16/2015	Common Stock	24,701	\$ 13.225	D	Â
Stock Option	Â <u>(4)</u>	02/10/2013	Common Stock	41,277	\$ 23.105	D	Â
Stock Option	Â <u>(4)</u>	02/15/2013	Common Stock	50,534	\$ 23.77	D	Â
Stock Option	Â <u>(4)</u>	02/13/2014	Common Stock	31,268	\$ 23.325	D	Â
Stock Option	Â <u>(5)</u>	02/11/2015	Common Stock	162,904	\$ 5.19	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Curcio Michael John C/O E*TRADE FINANCIAL CORPORATION 135 E. 57TH STREET NEW YORK, NY 10022	Â	Â	Â Managing Director, Americas	Â

Signatures

/s/ Russell S. Elmer, Attorney-in-Fact for Michael John
Curcio

11/10/2008

**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) 202,537 represents previous grants of restricted stock awards that remain unvested.

(2) Options are fully exercisable.

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- (3) Options vest and become exercisable in equal annual installments over four years from the grant date, which was ten years before the listed expiration date.
- (4) Options vest and become exercisable in equal annual installments over four years from the grant date, which was seven years before the listed expiration date.
- (5) Options vest and become exercisable over two years from the grant date, which was seven years before the listed expiration date, with 33% vesting after the first year and the remainder after the second year.

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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