

BAER ROBERT J  
Form 4  
January 05, 2005

**FORM 4**

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

OMB APPROVAL

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**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 \*  
BAER ROBERT J

(Last) (First) (Middle)

UNIGROUP INC, ONE PREMIER DR

(Street)

FENTON, MO 63026

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
STIFEL FINANCIAL CORP [SF]

3. Date of Earliest Transaction  
(Month/Day/Year)  
01/03/2005

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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
|                                 |                                      |  |                                | (A) or (D) Code V Amount (D) Price                                |   |  |                                   |
| Common Stock                    |                                      |  |                                |   | 4,265   | D  |                                   |

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)**

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| 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) | Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------------|
|  |  |                                      |  | Code V (A) (D)                 |   | Date Exercisable Expiration Date                         | Title   |                            |
| Stock Option (Option to Buy)               | \$ 20.22   | 01/03/2005                           |  | A                              | 1,000   | <u>(1)</u> 01/03/2015                                    | Common Stock  | 1,000                      |
| 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  | 92                         |
| 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   |                                      |  |                                |   | 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  | 109                        |
| Phantom Stock Units                        | \$ 0   |                                      |  |                                |   | 11/01/2002 11/01/2012                                    | Common Stock  | 174                        |
| Phantom Stock                              | \$ 0   |                                      |  |                                |   | 12/02/2002 12/02/2012                                    | Common Stock  | 177                        |

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|                     |      |  |            |            |                  |
|---------------------|------|--|------------|------------|------------------|
| Units               |      |  |            |            |                  |
| 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 115 |
| 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 106 |
| Phantom Stock Units | \$ 0 |  | 06/01/2003 | 06/01/2013 | Common Stock 166 |
| Phantom Stock Units | \$ 0 |  | 07/01/2003 | 07/01/2013 | Common Stock 168 |
| Phantom Stock Units | \$ 0 |  | 08/01/2003 | 08/01/2013 | Common Stock 171 |
| Phantom Stock Units | \$ 0 |  | 08/06/2003 | 08/06/2013 | Common Stock 340 |
| Phantom Stock Units | \$ 0 |  | 09/01/2003 | 09/01/2013 | Common Stock 161 |
| Phantom Stock Units | \$ 0 |  | 10/01/2003 | 10/01/2013 | Common Stock 785 |
| Phantom Stock Units | \$ 0 |  | 01/01/2004 | 01/01/2014 | Common Stock 562 |

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|                                       |            |                           |                |                 |       |
|---------------------------------------|------------|---------------------------|----------------|-----------------|-------|
| Phantom<br>Stock<br>Units             | \$ 0       | 04/01/2004 <sup>(2)</sup> | <sup>(3)</sup> | Common<br>Stock | 2,255 |
| Stock<br>Option<br>(Option<br>to Buy) | \$ 8.7     | <sup>(4)</sup>            | 01/30/2013     | Common<br>Stock | 1,066 |
| Stock<br>Option<br>(Option<br>to Buy) | \$ 10.9125 | <sup>(5)</sup>            | 05/09/2012     | Common<br>Stock | 4,001 |
| Stock<br>Option<br>(Option<br>to Buy) | \$ 13.89   | <sup>(6)</sup>            | 02/03/2014     | Common<br>Stock | 1,333 |

## Reporting Owners

| Reporting Owner Name / Address                                      | Relationships |           |         |       |
|---|---------------|-----------|---------|-------|
|   | Director      | 10% Owner | Officer | Other |
| BAER ROBERT J<br>UNIGROUP INC<br>ONE PREMIER DR<br>FENTON, MO 63026 | X             |           |         |       |

## Signatures

By: Forrest M. Smith For: Robert J. Baer

01/05/2005

\*\*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 percent increments on 1/3/06, 1/3/07, 1/3/08, 1/3/09 and 1/3/10.

(2) Units vest quarterly over a one year period.

(3) No expiration date for these Units.

(4) Options vest in 20% increments on 1/3/04, 1/3/05, 1/3/06, 1/3/07 and 1/3/08.

(5) Stock Options vest in 20% increments on 5/9/03, 5/9/04, 5/9/05, 5/9/06 and 5/9/07.

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

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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