Edgar Filing: ENTERPRISE FINANCIAL SERVICES CORP - Form 4

July 06, 2017 OMB APPROVAL FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 OMB APPROVAL Check this box if no longer subject to Section 16. STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES OMB APPROVAL Statement of changes in beneficial of the securities exchange Act of 1934, obligations may continue. Sec Instruction 1(b). Section 16(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940 Section 1940 (Print or Type Responses) 2. Issuer Name and Ticker or Trading Symbol ENTERPRISE FINANCIAL Section 2007 [EFSC] S. Relationship of Reporting Person(s) to Issuer (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) S. Pricetor Officer (give title of Other (specify below) 10% Owner (Check all applicable) 150 N. MERAMEC 07/03/2017 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 One Reporting Person Form filed by One Reporting Person Form filed by One Reporting Person
Check this box if no longer subject to Section 16. STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF Section 16. CMB 3235-0287 Form 4 or Form 5 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF Section 16. Expires: January 31 Form 4 or Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations may continue. Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 1(b). Section 17(a) of the Public Utility Holding Company Act of 1940 Section 1940 (Print or Type Responses) 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer Issuer (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) _X_Director
if no longer subject to Section 16. STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF Section 16. Expires: 2000 2000 Estimated average burden hours per response Form 4 or Form 5 obligations section 17(a) of the Public Utility Holding Company Act of 1935 or Section 10(b). Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 10(b). Image: Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 10(b). Image: Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 10(b). Image: Section 17(a) of the Investment Company Act of 1940 1(b). Image: Section 17(a) of the Investment Company Act of 1940 1(b). Image: Section 17(a) of the Investment Company Act of 1940 1(b). Image: Section 17(a) of the Investment Company Act of 1940 1(b). Image: Section 17(a) of the Investment Company Act of 1940 1(b). Image: Section 17(a) of the Investment Company Act of 1940 1(b). Image: Section 17(a) of the Investment Company Act of 1940 1(b). Image: Section 17(a) of the Investment Company Act of 1940 1(b). Image: Section 17(a) of the Investment Company Act of 1940 1(b). Image: Section 17(a) of the Investment Company Act of 1940 1(c). Image: Section 17(a) of the Investment Company Act of 1940 1(c). Image: Section 17(a) of the Investment Company Act of 1940 1(c). Image: Section 17(a) of the Investment Company Act of 1940 1(c). Image: Section 17(a) of the Investment Company Act of 1940 1(c). Image: Section 17(c) of the Investment Company Act of 1940 1(c). Image: Section 17(c) of the Investment Company Act of 1940
subject to Section 16. SECURITIES Estimated average burden hours per response 0.5 Form 4 or Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations may continue. Section 17(a) of the Public Utility Holding Company Act of 1935 or Section <i>Reports</i> 0.5 (Print or Type Responses) 30(h) of the Investment Company Act of 1940 1(b). 5. Relationship of Reporting Person(s) to Issuer 5. Relationship of Reporting Person(s) to Issuer (Print or Type Responses) 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) -X_ Director below) -10% Owner Other (specify below) 150 N. MERAMEC 07/03/2017 6. Individual or Joint/Group Filing(Check Applicable Line) -X_ Form filed by More than One Reporting Person CLAYTON, MO 63105 5. CLAYTON, MO 63105 6. Individual or Joint Group Filing (Person Form filed by More than One Reporting Person
Form 4 or Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations may continue. Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. See Instruction 30(h) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940 1940 (Print or Type Responses) 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer (I. Name and Address of Reporting Person* 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) -X_Director -Diffeer (give title below) 10% Owner -Diffeer (give title below) 150 N. MERAMEC 07/03/2017 6. Individual or Joint/Group Filing(Check Applicable Line) (Street) 4. If Amendment, Date Original Filed(Month/Day/Year) 6. Individual or Joint/Group Filing(Check Applicable Line) CLAYTON, MO 63105 CLAYTON, MO 63105 -X_Form filed by One Reporting Person Form filed by More than One Reporting Person
Form 5 obligations may continue. Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940 1935 or Section 1935 or Section 1935 or Section 1940 (Print or Type Responses) 2. Issuer Name and Ticker or Trading Symbol ENTERPRISE FINANCIAL SERVICES CORP [EFSC] 5. Relationship of Reporting Person(s) to Issuer (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) -X_Director below) -10% Owner
obligations may continue. See Instruction 1(b). 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 * HEETER JUDITH S 2. Issuer Name and Ticker or Trading Symbol ENTERPRISE FINANCIAL SERVICES CORP [EFSC] 5. Relationship of Reporting Person(s) to Issuer (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year)
1. Name and Address of Reporting Person [*] 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer HEETER JUDITH S 2. Issuer Name and Ticker or Trading Symbol (Check all applicable) (Last) (First) 3. Date of Earliest Transaction (Month/Day/Year) (Check all applicable) 150 N. MERAMEC 07/03/2017 07/03/2017
HEETER JUDITH S Symbol Issuer (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) (Check all applicable) 150 N. MERAMEC 07/03/2017 —XDirector (Month/Day/Year) —10% Owner Officer (give title —10% Owner Other (specify below) (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 Person
150 N. MERAMEC (Month/Day/Year) Officer (give title below) Other (specify below) (Street) 4. If Amendment, Date Original Filed(Month/Day/Year) 6. Individual or Joint/Group Filing(Check Applicable Line) CLAYTON, MO 63105
150 N. MERAMEC 07/03/2017 below) below) (Street) 4. If Amendment, Date Original Filed(Month/Day/Year) 6. Individual or Joint/Group Filing(Check Applicable Line) CLAYTON, MO 63105
Filed(Month/Day/Year) Applicable Line) _X_Form filed by One Reporting Person Form filed by More than One Reporting Person
Person Person
(City) (State) (Zip) 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. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 8) 5. Amount of Securities Beneficially (D) or Beneficial Indirect (I) Owned Indirect (I) Owned Transaction(s) 6. Ownership 7. Nature of Form: Direct Indirect Indirect
Code V Amount (D) Price (Instr. 3 and 4)
Common $07/03/2017$ A 853 A $\frac{\$ 0}{(1)}$ 10,535 I Trust

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.

 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)	4. Transact Code (Instr. 8)	5. iorNumber of Derivativ Securitie: Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	S	Date	Amou Under Secur	le and unt of rlying tities . 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Owne Follo Repo Trans (Instr
			Code V	7 (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

Edgar Filing: ENTERPRISE FINANCIAL SERVICES CORP - Form 4

Reporting Owners

Reporting Owner Name / Addres	Relationships						
	Director	10% Owner	Officer	Other			
HEETER JUDITH S 150 N. MERAMEC CLAYTON, MO 63105	Х						
Signatures							
/s/ Judith S. Heeter	07/06/2017						
<u>**</u> 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) Represents shares issued under the Non-Management Director Stock Plan.

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.