Edgar Filing: PEAPACK GLADSTONE FINANCIAL CORP - Form 4

PEAPACK GLADSTONE FINANCIAL CORP

Form 4

March 13, 2017

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

OMB APPROVAL OMB

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obligations

may continue.

See Instruction

Check this box

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

1(b).

(Last)

(City)

Stock

(Print or Type Responses)

1. Name and Address of Reporting Person *

5. Relationship of Reporting Person(s) to

Issuer

MEYERCORD F DUFFIELD Symbol

PEAPACK GLADSTONE

3. Date of Earliest Transaction

2. Issuer Name and Ticker or Trading

(Check all applicable)

FINANCIAL CORP [PGC]

(Middle)

(Zip)

(Month/Day/Year)

X_ Director 10% Owner Officer (give title Other (specify below)

500 HILLS DRIVE, SUITE 300, PO **BOX 700**

(Street)

(State)

03/11/2017

(First)

03/11/2017

6. Individual or Joint/Group Filing(Check

D

4. If Amendment, Date Original Filed(Month/Day/Year)

Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting

BEDMINSTER, NJ 07921

1. Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if (Instr. 3)

3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 3, 4 and 5) (Instr. 8)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 5. Amount of Securities Beneficially Owned Following

6. Ownership 7. Nature of Form: Direct Indirect (D) or Beneficial Ownership Indirect (I) (Instr. 4) (Instr. 4)

Reported (A) Transaction(s) or (Instr. 3 and 4)

Price (D)

Code V Amount

Common

\$0 1.850 A 66,222.1582

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

(Month/Day/Year)

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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. Transactic Code (Instr. 8)	5. conNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	7. Title and A Underlying S (Instr. 3 and	Securities	8. Price Derivat Security (Instr. 5
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Stock option (right to buy)	\$ 23.4					<u>(1)</u>	01/02/2018	Common Stock	2,310	
Stock Option (right to buy)	\$ 13.43					(2)	01/04/2020	Common Stock	5,000	
Stock Option (right to buy)	\$ 13.53					(3)	01/03/2021	Common Stock	2,500	
Stock Option (right to buy)	\$ 10.72					<u>(4)</u>	01/03/2022	Common Stock	2,500	
Stock Option (right to buy)	\$ 14.68					<u>(5)</u>	01/02/2023	Common Stock	2,500	

Reporting Owners

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
MEYERCORD F DUFFIELD 500 HILLS DRIVE, SUITE 300 PO BOX 700 BEDMINSTER, NJ 07921	X					

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Signatures

F. Duffield

Meyercord 03/13/2017

**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) The options are exercisable in five equal annual installments on January 2, 2009, 2010, 2011, 2012 and 2013.
- (2) The options are exercisable in four equal annual installments on January 4, 2011, 2012, 2013 and 2014.
- (3) The options are exercisable in four equal annual installments on January 3, 2012, 2013, 2014 and 2015.
- (4) The options are exercisable in four equal annual installments on January 3, 2013, 2014, 2015 and 2016.
- (5) The options are exercisable in three equal annual installments on January 2, 2014, 2015 and 2016.

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.

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