

STIFEL FINANCIAL CORP
Form 425
August 08, 2018

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
Washington, DC 20549

FORM 8-K

CURRENT REPORT

Pursuant To Section 13 OR 15(d) of the
Securities Exchange Act of 1934

Date of Report (Date of earliest event reported): August 7, 2018

STIFEL FINANCIAL CORP.

(Exact name of registrant as specified in its charter)

Delaware
(State of incorporation)

001-09305
(Commission File Number)

43-1273600
(IRS Employer
Identification No.)

One Financial Plaza
501 North Broadway

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St. Louis, Missouri 63102-2102

(Address of principal executive offices, including zip code)

(Registrant's telephone number, including area code): (314) 342-2000

Not Applicable

(Former name or former address, if changed since last report)

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions (see General Instruction A.2. below):

Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)

Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)

Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))

Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))

Indicate by check mark whether the registrant is an emerging growth company as defined in Rule 405 of the Securities Act of 1933 (§230.405 of this chapter) or Rule 12b-2 of the Securities Exchange Act of 1934 (§240.12b-2 of this chapter).

Emerging growth company

If an emerging growth company, indicate by check mark if the registrant has elected not to use the extended transition period for complying with any new or revised financial accounting standards provided pursuant to Section 13(a) of the Exchange Act.

Item 5.02 Departure of Directors or Certain Officers; Election of Directors; Appointment of Certain Officers; Compensatory Arrangements of Certain Officers.

On August 8, 2018 Stifel Financial Corp. (Stifel or the Company) announced a number of organizational changes. Effective August 7, 2018, David Sliney was appointed Chief Operating Officer and Jim Marischen was appointed Chief Financial Officer. Mr. Sliney has been a Senior Vice President of Stifel since May 2003. Mr. Marischen has served as Senior Vice President and Chief Risk Officer of Stifel since January 2014. During 2015, Mr. Marischen was named Stifel s Chief Accounting Officer. Mr. Marischen served as Executive Vice President and Chief Financial Officer of Stifel Bank & Trust from February 2008 to January 2014. Mr. Marischen will take over the Chief Financial Officer role from Jim Zemlyak, who will now focus exclusively on leading the Stifel s Wealth Management business, which he has been the head of since 2011. Mr. Zemlyak will remain Co-President of Stifel with Victor Nesi, who will continue to lead Stifel s Institutional Group. A copy of the press release is filed as Exhibit 99.1 hereto and is incorporated by reference.

Item 8.01 Other Events.

The information set forth in Item 5.02 above is incorporated herein by reference.

Item 9.01 Financial Statements and Exhibits.

| Exhibit Number | Description of Exhibit |
|-----------------------|---|
| 99.1 | <u>Press release dated August 8, 2018</u> |

SIGNATURE

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

STIFEL FINANCIAL CORP.

Date: August 8, 2018

By: /s/ Ronald J. Kruszewski

Name: Ronald J. Kruszewski

Title: *Chairman and Chief Executive Officer*