#### Edgar Filing: LADENBURG THALMANN FINANCIAL SERVICES INC - Form 4

## LADENBURG THALMANN FINANCIAL SERVICES INC

Form 4 May 13, 2014

#### FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

**OMB APPROVAL** 

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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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

(Print or Type Responses)

1(b).

1. Name and Address of Reporting Person \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading ZEITCHICK MARK Issuer Symbol LADENBURG THALMANN (Check all applicable) FINANCIAL SERVICES INC [LTS] (Last) (First) (Middle) 3. Date of Earliest Transaction \_X\_ Director 10% Owner \_X\_\_ Officer (give title Other (specify (Month/Day/Year) below) 4400 BISCAYNE 05/12/2014 **Executive Vice President** 

**BOULEVARD, 12TH FLOOR** 

(Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check

Filed(Month/Day/Year) Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

**MIAMI, FL 33137** 

(City)	(State) (Z	ip) Table	I - Non-De	rivative Sec	urities	s Acquii	red, Disposed of,	or Beneficial	ly Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transacti Code (Instr. 8)	4. Securitie on(A) or Disp (Instr. 3, 4	osed o	of (D)	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 Indirect Beneficial Ownership (Instr. 4)
Common Stock	05/12/2014		D	43,535	D	( <u>1</u> )	2,132,801	I	Held by MZ Trading LLC, of which Mr. Zeitchick is the sole managing member
Common Stock	05/12/2014		M	125,000	A	\$ 1.01	2,257,801	I	Held by MZ

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			Trading LLC, of which Mr. Zeitchick is the sole managing member
8.00% Series A Cumulative Redeemable Preferred Stock	4,000 (2)	I	Held by MZ Trading LLC, of which Mr. Zeitchick is the sole managing member
Reminder: Report on a separate line for each class of securities beneficially o	wned directly or indirectly.		CEC 1474

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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)

Derivative Security (Instr. 3)	Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	SA. Deemed Execution Date, if any (Month/Day/Year)	TransactionDerivative Code Securities (Instr. 8) Acquired (A) or Disposed of (D) (Instr. 3, 4, and		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)		
				Code V	5) (A)	(D)	Date Exercisable	Expiration Date	Title	Amount of Number of Shares
Stock Option (Right to	\$ 1.01	05/12/2014		M		125,000	05/26/2005	05/26/2014	Common Stock	125,00

# **Reporting Owners**

Buy)

Reporting Owner Name / Address Relationships

Reporting Owners 2

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Director 10% Owner Officer Other

ZEITCHICK MARK 4400 BISCAYNE BOULEVARD 12TH FLOOR

X

**Executive Vice President** 

**Signatures** 

**MIAMI, FL 33137** 

/s/ Mark Zeitchick 05/12/2014

\*\*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 shares of Common Stock were tendered to the Issuer as payment of the exercise price of the Options to Purchase Common Stock exercised by the Reporting Person on such date.
- The 8.00% Series A Cumulative Redeemable Preferred Stock is convertible into common stock at a non-fixed conversion rate in connection with a change of control as described in the issuer's Current Report on Form 8-K, filed with the Securities and Exchange Commission on May 24, 2013.

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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