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

#### LADENBURG THALMANN FINANCIAL SERVICES INC

Form 4

October 13, 2009

## FORM 4

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

Check this box if no longer

subject to Section 16. Form 4 or Form 5

obligations may continue. See Instruction 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

2. Issuer Name and Ticker or Trading

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \*

LAMPEN RICHARD			Symbol					ıg	Issuer			
			LADENBURG THALMANN FINANCIAL SERVICES INC [LTS]					[LTS]	(Check all applicable)			
(Last)	(First)	(Middle)	ddle) 3. Date of Earli (Month/Day/Yo			ansaction			_X_ Director 10% Owner _X_ Officer (give title Other (specify			
4400 BISCAYNE BOULEVARD, 12TH FLOOR			10/08/2009						below) below) President and CEO			
	(Street) 4. If A			f Amendment, Date Original					6. Individual or Joint/Group Filing(Check			
MIAMI, FL	Filed(Month/Day/Year)						Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting Person					
(City)	ity) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned											
1.Title of Security (Instr. 3)	2. Transaction D (Month/Day/Yea	ar) Execution any	emed on Date, if /Day/Year)	3. Transac Code (Instr. 8		4. Securities Acquired on(A) or Disposed of (D) (Instr. 3, 4 and 5)		Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)  7. Nature of Indirect Indirect Ownership (Instr. 4)			
Common				Code	V	Amount	(D)	Price \$	(Instr. 3 and 4)			
Stock	10/08/2009			P		5,000	A	0.69	435,631	D		
Common Stock	10/09/2009			P		4,097	A	\$ 0.67	439,728	D		
Common Stock	10/09/2009			P		3,250	A	\$ 0.69	442,978	D		
Common Stock	10/09/2009			P		5,353	A	\$ 0.7	448,331	D		
Common Stock	10/09/2009			P		2,300	A	\$ 0.71	450,631	D		

**OMB APPROVAL** 

3235-0287

January 31,

2005

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Number:

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response...

5. Relationship of Reporting Person(s) to

Estimated average

burden hours per

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

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SEC 1474

(9-02)

9. Nu Deriv Secur Bene Own Follo Repo Trans (Instr

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exerc	cisable and	7. Title	e and	8. Price of	٩
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transaction	orNumber	Expiration Da	ate	Amou	nt of	Derivative	J
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Underl	ying	Security	,
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	e		Securit	ties	(Instr. 5)	]
	Derivative				Securities			(Instr.	3 and 4)		(
	Security				Acquired						J
					(A) or						J
					Disposed						7
					of (D)						(
					(Instr. 3,						
					4, and 5)						
									Amount		
									or		
						Date	Expiration		Number		
						Exercisable	Date	of			
				Code V	(A) (D)				Shares		

# **Reporting Owners**

Reporting Owner Name / Address	Keiationsinps						
	Director	10% Owner	Officer	Other			
LAMPEN RICHARD							

4400 BISCAYNE BOULEVARD 12TH FLOOR MIAMI, FL 33137

X President and CEO

Deletionship

# **Signatures**

/s/ Richard J.

Lampen 10/12/2009

\*\*Signature of Person Date

Reporting Person

## **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).

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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