

LADENBURG THALMANN FINANCIAL SERVICES INC
 Form 4
 May 12, 2014

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

OMB APPROVAL
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Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

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

(Print or Type Responses)

1. Name and Address of Reporting Person *
 ROSENSTOCK RICHARD J

2. Issuer Name and Ticker or Trading Symbol
 LADENBURG THALMANN FINANCIAL SERVICES INC [LTS]

5. Relationship of Reporting Person(s) to Issuer
 (Check all applicable)

(Last) (First) (Middle)
 C/O LADENBURG THALMANN & CO. INC., 4400 BISCAYNE BLVD., 12TH FLOOR

3. Date of Earliest Transaction (Month/Day/Year)
 05/09/2014

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

(Street)
 MIAMI, FL 33137

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

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 Form filed by More than One Reporting 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. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	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 Ownership (Instr. 4)			
			Code	V	Amount	(D)	Price			
Common Stock	05/09/2014		P		630	A	\$ 2.67	139,630	I	Held by the NFS/FMTC Rollover IRA for the benefit of Richard J. Rosenstock
Common Stock	05/09/2014		P		166	A	\$ 2.7	139,796	I	Held by the NFS/FMTC Rollover

Common Stock	05/09/2014	P	4,204	A	\$ 2.72	144,000	I	IRA for the benefit of Richard J. Rosenstock Held by the NFS/FMTC Rollover IRA for the benefit of Richard J. Rosenstock
Common Stock						115,000	D	
Common Stock						2,701,586	I	Held by The Richard J. Rosenstock Revocable Living Trust Dated 3/5/96 ⁽¹⁾
Common Stock						5,000	I	Held by the NFS/FMTC IRA for the benefit of Richard J. Rosenstock
Common Stock						5,000	I	Held by the NFS/FMTC IRA for the benefit of Roni L. Rosenstock
8.00% Series A Cumulative Redeemable Preferred Stock						2,000 ⁽²⁾	I	Held by The Richard J. Rosenstock Revocable Living Trust Dated 3/5/96 ⁽¹⁾

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

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