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

#### LADENBURG THALMANN FINANCIAL SERVICES INC

Form 4

January 15, 2016

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

**OMB APPROVAL** 

OMB 3235-0287 Number:

January 31, Expires: 2005

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if no longer subject to Section 16. Form 4 or Form 5

obligations

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

may continue. 30(h) of the Investment Company Act of 1940 See Instruction

1(b).

A

(Print or Type Responses)

1. Name and Address of Reporting Person * Malamed Adam Scott			2. Issuer Name and Ticker or Trading Symbol LADENBURG THALMANN EINANGIAL SERVICES INC. I. TSU				I	5. Relationship of Reporting Person(s) to Issuer  (Check all applicable)					
(Last) 4400 BISCA' FLOOR	(First) YNE BLVD.,	FINANCIAL SERVICES INC [LTS]  3. Date of Earliest Transaction (Month/Day/Year) 01/14/2016				- - -	Director 10% Owner Other (specify below) below)  Chief Operating Officer						
	(Street)		4. If Amend Filed (Month		e Original		A	. Individual or Joi applicable Line) X_ Form filed by O	ne Reporting Pe	erson			
MIAMI, FL 33137									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)	any		eemed tion Date, if h/Day/Year)	3. 4. Securities Acquired Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8)  (A) or Code V Amount (D) Price			ed of (D) 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 Beneficial Ownership (Instr. 4)			
Common Stock	01/14/2016			P	5,000	A	\$ 2.2144 (1)	478,478	D				
Common Stock								5,000	I	Held by the NFS/FMTC IRA for the benefit of Adam Malamed			
8.00% Series								4,000 (2)	D				

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Cumulative Redeemable Preferred Stock

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

Persons who respond to the collection of **SEC 1474** information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

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

1. Title of Derivative	2. Conversion	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if	4. Transacti	5. orNumber	6. Date Exerc Expiration D		7. Title Amour		8. Price of Derivative	9. Nu Deriv
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Underl	ying	Security	Secui
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	e		Securit	ties	(Instr. 5)	Bene
	Derivative				Securities	Securities			(Instr. 3 and 4)		Own
	Security				Acquired			Follo			
					(A) or						Repo
					Disposed						Trans
					of (D)						(Instr
					(Instr. 3,						
					4, and 5)						
									Amount		
						ъ.	Б		or		
						Date Exercisable	Expiration Date	Title Number of	Number		
									of		
				Code V	(A) (D)				Shares		

# **Reporting Owners**

Relationships Reporting Owner Name / Address

> Director 10% Owner Officer Other

Malamed Adam Scott 4400 BISCAYNE BLVD., 12TH FLOOR **MIAMI, FL 33137** 

Chief Operating Officer

### **Signatures**

/s/ Adam S. 01/15/2016 Malamed

\*\*Signature of 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).
- (1) The price reported is a weighted average price. These shares were purchased in multiple transactions at prices ranging from \$2.17 to \$2.24, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer or the staff of the Securities

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and Exchange Commission, upon request, full information regarding the number of shares purchased at each separate price within the range set forth in footnote (1) to this Form 4.

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.