

STEIN MART INC

Form 3

March 24, 2017

**FORM 3****UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

OMB APPROVAL

OMB Number: 3235-0104

Expires: January 31, 2005

Estimated average burden hours per response... 0.5

**INITIAL STATEMENT OF 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 \*

McLean Roseann

(Last)

(First)

(Middle)

2. Date of Event Requiring  
Statement

(Month/Day/Year)

03/24/2017

3. Issuer Name **and** Ticker or Trading Symbol  
STEIN MART INC [SMRT]4. Relationship of Reporting  
Person(s) to Issuer5. If Amendment, Date Original  
Filed(Month/Day/Year)STEIN MART, INC., 1200  
RIVERPLACE BLVD.

(Street)

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

Exec. VP Planning &amp; Allocation

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting  
Person☐ Form filed by More than One  
Reporting Person

JACKSONVILLE, FL 32207

(City)

(State)

(Zip)

**Table I - Non-Derivative Securities Beneficially Owned**1. Title of Security  
(Instr. 4)2. Amount of Securities  
Beneficially Owned  
(Instr. 4)3. Ownership  
Form:  
Direct (D)  
or Indirect  
(I)  
(Instr. 5)4. Nature of Indirect Beneficial  
Ownership  
(Instr. 5)

Common Stock

107,413 <sup>(1)</sup> <sup>(2)</sup>

D

A

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

SEC 1473 (7-02)

**Persons who respond to the collection of  
information contained in this form are not  
required to respond unless the form displays a  
currently valid OMB control number.****Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**1. Title of Derivative Security  
(Instr. 4)2. Date Exercisable and  
Expiration Date  
(Month/Day/Year)3. Title and Amount of  
Securities Underlying  
Derivative Security  
(Instr. 4)

Title

4. Conversion  
or Exercise  
Price of  
Derivative  
Security5. Ownership  
Form of  
Derivative  
Security:  
Direct (D)6. Nature of Indirect  
Beneficial Ownership  
(Instr. 5)

## Edgar Filing: STEIN MART INC - Form 3

|   | Date<br>Exercisable | Expiration<br>Date |                 | Amount or<br>Number of<br>Shares |         | or Indirect<br>(I)<br>(Instr. 5) |   |
|---|---------------------|--------------------|-----------------|----------------------------------|---------|----------------------------------|---|
| Employee Stock Option<br>(right to buy) | Â (3)               | 03/14/2026         | Common<br>Stock | 100,000                          | \$ 7.35 | D                                | Â |
| Employee Stock Option<br>(right to buy) | Â (4)               | 10/01/2022         | Common<br>Stock | 25,000                           | \$ 9.71 | D                                | Â |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |  |       |
|---|---------------|-----------|--|-------|
|   | Director      | 10% Owner | Officer                                | Other |
| McLean Roseann<br>STEIN MART, INC.<br>1200 RIVERPLACE BLVD.<br>JACKSONVILLE, FL 32207 | Â             | Â         | Â Exec. VP<br>Planning &<br>Allocation | Â     |

## Signatures

Gregory W. Kleffner,  
attorney-in-fact

03/24/2017

\_\_Signature of Reporting Person

Date

## Explanation of Responses:

- \* If the form is filed by more than one reporting person, *see* Instruction 5(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) Includes 22,730 shares of restricted stock granted on June 2, 2016, which vest on February 2, 2019.
- (2) Includes 10,580 shares of restricted stock granted on May 19, 2015, which vest on February 3, 2018.
- (3) These options vest in three installments, with 33,000 options vesting on March 14, 2019, 33,000 options vesting on March 14, 2020, and 34,000 options vesting on March 14, 2021.
- (4) These options vest ratably in 60 equal monthly installments, which began October 31, 2015.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure.

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