

TriState Capital Holdings, Inc.  
Form 4  
September 09, 2016

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

OMB APPROVAL

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**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 \*  
Zappala Richard A.

(Last) (First) (Middle)

ONE OXFORD CENTRE, 301  
GRANT STREET, SUITE 2700

(Street)

PITTSBURGH, PA 15219

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol

TriState Capital Holdings, Inc. [TSC]

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

09/08/2016

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

6. Individual or Joint/Group Filing(Check Applicable Line)

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

**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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
|                                 |                                      |  |                                | (A) or (D)  | Price   |  |                                   |
| Common Stock                    | 09/08/2016                           |  | M                              | 5,000 A   | \$ 10   | 124,980  | D                                 |
| Common Stock                    | 09/08/2016                           |  | S                              | 5,000 D   | \$ 15.5676  | 119,980  | D                                 |

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

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SEC 1474  
(9-02)

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

| 1. Title of Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | Amount or Number of Shares |       |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------------|-------|
|  |  |                                      |  | Code                           | V (A) (D)   | Date Exercisable   | Expiration Date   | Title                      |       |
| Stock Options (Right to Buy)               | \$ 10  | 09/08/2016                           |  | M                              | 5,000   | 06/18/2010 <sup>(2)</sup>                                | 12/18/2017  | Common Stock               | 5,000 |
| Stock Options (Right to Buy)               | \$ 12  |                                      |  |                                |   | 06/18/2011 <sup>(3)</sup>                                | 12/18/2018  | Common Stock               | 6,000 |
| Stock Options (Right to Buy)               | \$ 8.75  |                                      |  |                                |   | 06/15/2012 <sup>(4)</sup>                                | 12/15/2019  | Common Stock               | 6,000 |
| Stock Options (Right to Buy)               | \$ 11.78   |                                      |  |                                |   | 06/13/2016 <sup>(5)</sup>                                | 12/13/2023  | Common Stock               | 6,000 |
| Stock Options (Right to Buy)               | \$ 8   |                                      |  |                                |   | 06/30/2013 <sup>(6)</sup>                                | 12/31/2020  | Common Stock               | 6,000 |
| Stock Options (Right to Buy)               | \$ 9.32  |                                      |  |                                |   | 06/30/2014 <sup>(7)</sup>                                | 12/31/2021  | Common Stock               | 6,000 |
| Stock Options (Right to Buy)               | \$ 10.25   |                                      |  |                                |   | 06/30/2015 <sup>(8)</sup>                                | 12/31/2022  | Common Stock               | 6,000 |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |              |         |       |
|---|---------------|--------------|---------|-------|
|   | Director      | 10%<br>Owner | Officer | Other |
| Zappala Richard A.<br>ONE OXFORD CENTRE<br>301 GRANT STREET, SUITE 2700<br>PITTSBURGH, PA 15219 | X             |              |         |       |

## Signatures

/s/ Keevican Weiss Bauerle & Weiss LLC by David J. Hirsch,  
Attorney-in-fact

09/08/2016

\_\_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).
- The price reported in Column 4 is the average price. The shares were sold in multiple transactions at prices ranging from \$15.55 to \$15.67, inclusive. The Reporting Person undertakes to provide to any security holder of TriState Capital Holdings, Inc. or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (1) 2,500 of these options vested and became exercisable on or about 06/18/2010, and the remaining 2,500 options vested and became exercisable on 12/18/2012.
  - (2) 3,000 of these options vested and became exercisable on 06/18/2011, and the remaining 3,000 options vested and became exercisable on 12/18/2013.
  - (3) 3,000 of these options vested and became exercisable on 06/15/2012, and the remaining 3,000 options vested and became exercisable on 12/15/2014.
  - (4) 3,000 of these options will vest and become exercisable on 6/13/2016, and the remainder will vest and become exercisable on 12/13/2018.
  - (5) 3,000 of these options vested and became exercisable on or about 06/30/2013, and the remaining 3,000 options vested and became exercisable on 12/31/2015.
  - (6) 3,000 of these options vested and became exercisable on or about 6/30/2014, and the remaining 3,000 options will vest and become exercisable on 12/31/2016.
  - (7) 3,000 of these options will vest and become exercisable on or about 6/30/2015, and the remaining 3,000 options will vest and become exercisable on 12/31/2017.
  - (8)

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