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ENTERPRISE FINANCIAL SERVICES CORP

Form 4

October 02, 2014

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

3235-0287

January 31,

2005

0.5

OMB

Number:

Expires:

response...

5. Relationship of Reporting Person(s) to

(Check all applicable)

Issuer

Estimated average

burden hours per

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

obligations

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

ENTERPRISE FINANCIAL

SERVICES CORP [EFSC]

Symbol

may continue. See Instruction

1(b).

(Print or Type Responses)

LEUCK RICHARD C

1. Name and Address of Reporting Person *

| | | | SERVIC | LS COR | I [LISC] | J | | | | |
|--------------------------------------|--|----------------|-----------------------------------|---|---|--------|---------|--|--|---|
| (Last) 150 N. MEF | , , | Middle) | 3. Date of (Month/D) 09/30/20 | • | ansaction | | | Director X Officer (gives) below) | | 6 Owner er (specify |
| | | | | endment, Date Original nth/Day/Year) | | | | 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person | | |
| ST. LOUIS, MO 63105 | | | | | | | | Form filed by More than One Reporting Person | | |
| (City) | (State) | (Zip) | Table | e I - Non-D | erivative S | ecurit | ies Acc | quired, Disposed o | of, or Beneficia | lly Owned |
| 1.Title of Security (Instr. 3) | 2. Transaction Dat (Month/Day/Year) | Executi any | emed on Date, if /Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securit on(A) or Dis (D) (Instr. 3, 4 | sposed | of | 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 | 09/30/2014 | | | M | 11,313 (1) | A | \$0 | 15,500 | D | |
| Common Stock | | | | | | | | 34,149 | I | By Trust |
| Common Stock | | | | | | | | 7,000 | I | Self Ira |
| Common Stock | | | | | | | | 8,500 | I | Spouse Trust |
| Common Stock | | | | | | | | 18,664 | D (2) | |

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

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.

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 | 2. | 3. Transaction Date | 3A. Deemed | 4. | 5. Number of | 6. Date Exer | cisable and | 7. Title and A | Amount of | 8 |
|------------------------------|---|---------------------|-------------------------|---|--------------|---------------------|--------------------|------------------|-------------------------------------|---|
| Derivative | Conversion | (Month/Day/Year) | Execution Date, if | Transacti | orDerivative | Expiration D | ate | Underlying S | Securities | Ι |
| Security (Instr. 3) | or Exercise Price of Derivative Security | | any (Month/Day/Year) | Code Securities (Instr. 8) Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | | (Month/Day/Year) | | (Instr. 3 and 4) | | (|
| | | | | Code V | (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | |
| Restricted Share Units | (3) | 09/30/2014 | | M | 11,313 | <u>(1)</u> | <u>(1)</u> | Common Stock | 11,313 | |

Reporting Owners

| Reporting Owner Name / Address | Relationships |
|--------------------------------|---------------|
| | |

Director 10% Owner Officer Other

LEUCK RICHARD C 150 N. MERAMEC ST. LOUIS, MO 63105

President

Signatures

/s/ Richard C. 10/02/2014 Leuck

**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) Represents the acceleration of the vesting of Mr. Leuck's restricted stock units in connection with Mr. Leuck's departure, effective September 30, 2014, pursuant to the terms of his separation agreement and release with the Company dated September 19, 2014.
- (2) These shares are held jointly with spouse.
- (3) The RSUs were granted pursuant to the Company's 2002 Stock Incentive Plan. Each RSU represents the right to receive one share of Common Stock, subject to adjustment as provided in the Grant Agreement.

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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