

GETZ JAMES F
Form 3
May 08, 2013

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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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 *

^ GETZ JAMES F

(Last) (First) (Middle)

ONE OXFORD CENTRE,^ 301
GRANT STREET, SUITE 2700

(Street)

PITTSBURGH,^ PA^ 15219

(City) (State) (Zip)

2. Date of Event Requiring
Statement

(Month/Day/Year)

05/08/2013

3. Issuer Name **and** Ticker or Trading Symbol
TriState Capital Holdings, Inc. [TSC]

4. Relationship of Reporting
Person(s) to Issuer

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

(Check all applicable)

☒ Director ☐ 10% Owner

☒ Officer ☐ Other

(give title below) (specify below)

CHAIRMAN, PRESIDENT AND
CEO

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 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

490,209

D

^

BY BARCLAYS CAPITAL,
INC., FBO JAMES F. GETZ
INDIVIDUAL RETIREMENT
ACCOUNT ⁽¹⁾

COMMON STOCK

173,118

I

BY GETZ ENTERPRISES, L.P.
⁽²⁾

COMMON STOCK

284,173

I

^

COMMON STOCK

1,720 ⁽³⁾

D

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

SEC 1473 (7-02)

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information contained in this form are not
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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)	4. Conversion or Exercise Price of Derivative Security	5. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
STOCK OPTIONS (RIGHT TO BUY)	06/30/2015 ⁽⁴⁾	12/31/2022	COMMON STOCK	95,000	\$ 10.25
					D
					Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
GETZ JAMES F ONE OXFORD CENTRE 301 GRANT STREET, SUITE 2700 PITTSBURGH, PA 15219	Â X	Â	Â CHAIRMAN, PRESIDENT AND CEO	Â

Signatures

/s/ Fenimore, Kay, Harrison & Ford, LLP by Brent Standefer, Jr.,
Attorney-in-fact

05/08/2013

__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) The Reporting Person is the beneficiary of this account, which owns a total of 173,118 shares of the Issuer's common stock.

(2) The Reporting Person is the general partner of this entity, which owns a total of 284,173 shares of the Issuer's common stock.

(3) Shares held jointly of record by the Reporting Person and his spouse.

(4) 47,500 of these options will vest and become exercisable on or about 06/30/2015, and the remaining 47,500 options will vest and become exercisable on 12/31/2017.

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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