#### Edgar Filing: ENTERPRISE FINANCIAL SERVICES CORP - Form 4

#### ENTERPRISE FINANCIAL SERVICES CORP

Form 4

October 27, 2015

## FORM 4

### UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB** Number:

3235-0287

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**OMB APPROVAL** 

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obligations may continue. See Instruction

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person SANFILIPPO FRANK H	2. Issuer Name and Ticker or Trading Symbol ENTERPRISE FINANCIAL SERVICES CORP [EFSC]	5. Relationship of Reporting Person(s) to Issuer  (Check all applicable)
(Last) (First) (Middle) 150 N. MERAMEC	3. Date of Earliest Transaction (Month/Day/Year) 10/26/2015	Director 10% Owner Officer (give title Other (specify below) EVP & COO
(Street) ST. LOUIS, MO 63105	4. If Amendment, Date Original Filed(Month/Day/Year)	6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting Person
(City) (State) (Zip)	Table I - Non-Derivative Securities Acq	uired, Disposed of, or Beneficially Owned
(Instr. 3) any	tion Date, if Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) th/Day/Year) (Instr. 8)  (A) or	5. Amount of Securities Form: Direct Indirect Beneficially (D) or Beneficial Owned Indirect (I) Ownership Following (Instr. 4) (Instr. 4) Reported Transaction(s) (Instr. 3 and 4)
Common Stock 10/26/2015	Code V Amount (D) Price S 2,500 D \$ 29.43	23,522 I By Trust
Common Stock		5,809 D

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.

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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. Transactic Code (Instr. 8)	5. onNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)			7. Title and A Underlying S (Instr. 3 and	Securities
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Share
Restricted Share Units	(1)					(2)	(2)	Common Stock	7,564
Stock Settled Stock Appreciation Rights	\$ 25.63					12/15/2007(3)	06/15/2017	Common Stock	8,843
Stock Settled Stock Appreciation Rights	\$ 20.63					12/15/2008(4)	06/13/2018	Common Stock	5,000
Stock Settled Stock Appreciation Rights	\$ 21.49					09/24/2009(5)	09/24/2018	Common Stock	36,000

# **Reporting Owners**

Reporting Owner Name / Address	Relationships				
roporous o muor rumo / raucoss	Director	10% Owner	Officer	Other	
SANFILIPPO FRANK H					
150 N. MERAMEC			EVP & COO		
ST LOUIS MO 63105					

## **Signatures**

s/s Frank H. Sanfilippo	10/27/2015
**Signature of Reporting Person	Date

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### **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 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.
- The RSUs vest at a rate of 20% annually over five years, subject to continued employment of the reporting person. Vesting occurs on (2) December 15 of each year, commencing in the calendar year of the grant. On each vesting date, for each RSU vesting on such date, the reporting person will receive one share of Common Stock.
- Each SSAR consists of the right to receive an amount, in common stock, equal to the excess of the fair market value of a share of common stock on the date of exercise over the exercise price of the SSAR. The SSARs vest at a rate of 20% annually over five years, subject to continued employement of the reporting person. Vesting occurs on December 15 of each year, commencing December 15, 2007.
- Each SSAR consists of the right to receive an amount, in common stock, equal to the excess of the fair market value of a share of common stock on the date of exercise over the exercise price of the SSAR. The SSARs vest at a rate of 20% annually over five years, subject to continued employment of the reporting person. Vesting occurs on December 15 of each year, commencing December 15, 2008.
- Each SSAR consists of the right to receive an amount, in common stock, equal to the excess of the fair market value of a share of common stock on the date of exercise over the exercise price of the SSAR. The SSARs vest at a rate of 20% annually over five years, subject to continued employment of the reporting person. Vesting occurs on September 24 of each year, commencing September 24, 2009.

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.