

LAMB JAMES R
Form 4
December 07, 2017

FORM 4

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

Check this box
if no longer
subject to
Section 16.
Form 4 or
Form 5
obligations
may continue.
See Instruction
1(b).

**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

OMB APPROVAL

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
LAMB JAMES R

2. Issuer Name **and** Ticker or Trading
Symbol
PEAPACK GLADSTONE
FINANCIAL CORP [PGC]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)

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

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

500 HILLS DRIVE, SUITE 300, PO
BOX 700

12/06/2017

(Street)

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

6. Individual or Joint/Group Filing(Check
Applicable Line)
☒ Form filed by One Reporting Person
☐ Form filed by More than One Reporting
Person

BEDMINSTER, NJ 07921

(City) (State) (Zip)

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 Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price		
Common Stock	12/06/2017		M		300	A	\$ 23.4	21,756	D
Common Stock	12/06/2017		S		300	D	\$ 35.25	21,456	D
Common Stock	12/06/2017		M		100	A	\$ 23.4	21,556	D
Common Stock	12/06/2017		S		100	D	\$ 35.27	21,456	D
Common Stock	12/06/2017		M		200	A	\$ 23.4	21,656	D

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Common Stock	12/06/2017	S	200	D	\$ 35.31	21,456	D	
Common Stock	12/06/2017	M	200	A	\$ 23.4	21,656	D	
Common Stock	12/06/2017	S	200	D	\$ 35.34	21,456	D	
Common Stock	12/06/2017	M	100	A	\$ 23.4	21,556	D	
Common Stock	12/06/2017	S	100	D	\$ 35.35	21,456	D	
Common Stock	12/06/2017	M	100	A	\$ 23.4	21,556	D	
Common Stock	12/06/2017	S	100	D	\$ 35.3501	21,456	D	
Common Stock						1,684	I	Spouse

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

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(9-02)

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)	8. Amount or Number of Shares
Stock option (right to buy)	\$ 23.4	12/06/2017		M	1,000	(1) 01/02/2018	Common Stock	2,310
Stock Option (right to buy)	\$ 13.43					(2) 01/04/2020	Common Stock	5,000

Stock Option (right to buy)	\$ 13.53	(3)	01/03/2021	Common Stock	2,500
Stock Option (right to buy)	\$ 10.72	(4)	01/03/2022	Common Stock	2,500
Stock Option (right to buy)	\$ 14.68	(5)	01/02/2023	Common Stock	2,500

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
LAMB JAMES R 500 HILLS DRIVE, SUITE 300 PO BOX 700 BEDMINSTER, NJ 07921			X	

Signatures

James R. Lamb 12/07/2017

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).

- (1) The options are exercisable in five equal annual installments on January 2, 2009, 2010, 2011, 2012 and 2013.
- (2) The options are exercisable in four equal annual installments on January 4, 2011, 2012, 2013 and 2014.
- (3) The options are exercisable in four equal annual installments on January 3, 2012, 2013, 2014 and 2015.
- (4) The options are exercisable in four equal annual installments on January 3, 2013, 2014, 2015 and 2016.
- (5) The options are exercisable in three equal annual installments on January 2, 2014, 2015 and 2016.
- (6) Option grant has no purchase or sale price.

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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