Edgar Filing: PEAPACK GLADSTONE FINANCIAL CORP - Form 4

PEAPACK GLADSTONE FINANCIAL CORP

Form 4

December 16, 2013

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

OMB Number:

3235-0287

if no longer subject to

Check this box

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES**

January 31, Expires: 2005 Estimated average

OMB APPROVAL

Section 16. Form 4 or Form 5

obligations

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

burden hours per response... 0.5

may continue. See Instruction

30(h) of the Investment Company Act of 1940

1(b).

(Last)

(City)

(Print or Type Responses)

1. Name and Address of Reporting Person * **ROCKOFF KAREN A**

2. Issuer Name and Ticker or Trading

Symbol

5. Relationship of Reporting Person(s) to Issuer

PEAPACK GLADSTONE FINANCIAL CORP [PGC]

3. Date of Earliest Transaction

(Check all applicable)

500 HILLS DRIVE, SUITE 300, PO

(Month/Day/Year) 12/04/2013

Director 10% Owner X_ Officer (give title Other (specify

(First)

(Middle)

(Zip)

below)

Chief Risk Officer

BOX 700 (Street)

4. If Amendment, Date Original

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

Filed(Month/Day/Year)

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

BEDMINSTER, NJ 07921-1538

(State)

(Table 1 - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned										
2. Transaction Date	3.	4. Securities		5. Amount of	6. Ownership	7. Nature of					
(Month/Day/Year)	Execution Date, if	TransactionAcquired (A) or			Securities	Form: Direct	Indirect				
	any	Code	ode Disposed of (D)			Beneficially	(D) or	Beneficial			
	(Month/Day/Year)	(Instr. 8)	(Instr. 3, 4 and 5)		Owned	Indirect (I)	Ownership				
						Following	(Instr. 4)	(Instr. 4)			
				(1)		Reported					
						Transaction(s)					
		Code V	Amount		Price	(Instr. 3 and 4)					
10/04/0010			0.071		Φ.Ω	0.571	Ъ				
12/04/2013		А	2,2/1	Α	\$0	2,5/1	D				
12/12/2013		P	75	A	\$ 17	2,646	D				
	2. Transaction Date (Month/Day/Year) 12/04/2013	2. Transaction Date (Month/Day/Year) 2A. Deemed Execution Date, if any (Month/Day/Year) 12/04/2013	2. Transaction Date 2A. Deemed 3. (Month/Day/Year) Execution Date, if any Code (Month/Day/Year) (Instr. 8) Code V 12/04/2013 A	2. Transaction Date (Month/Day/Year)	2. Transaction Date (Month/Day/Year) (Month/Day/Year) (Month/Day/Year) (Month/Day/Year) (Month/Day/Year) (A) or Code V Amount (D) 12/04/2013 A 2,271 A	2. Transaction Date (Month/Day/Year) Execution Date, if any (Month/Day/Year) (Month/Day/Year) (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Code V Amount (D) Price 12/04/2013 A 2,271 A \$ 0	2. Transaction Date (Month/Day/Year) Execution Date, if any (Month/Day/Year) (Month/Day/Year) (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Owned Following Reported Transaction(s) (Instr. 3 and 4) Code V Amount (D) Price (Instr. 3 and 4)	2. Transaction Date (Month/Day/Year) Execution Date, if any (Month/Day/Year) (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Owned Indirect (I) Following Reported Transaction(s) (Instr. 4) Code V Amount (D) Price (Code V 2,271 A \$ 0 2,571 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. Transacti Code (Instr. 8)	5. 6. Date Exercisable and Number Expiration Date of (Month/Day/Year) Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)		8. Price Derivat Securit (Instr. 5	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Stock Option (right to buy)	\$ 14.06					<u>(1)</u>	04/15/2023	Common Stock	1,000	

Reporting Owners

Relationships Reporting Owner Name / Address

Director 10% Owner Officer Other

ROCKOFF KAREN A 500 HILLS DRIVE, SUITE 300 **PO BOX 700** BEDMINSTER, NJ 07921-1538

Chief Risk Officer

Signatures

Karen A.

Rockoff 12/13/2013 Date **Signature of 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) The options were exercisable in five equal annual installments on April 15, 2014, 2015, 2016, 2017 and 2018.

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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