

WINTRUST FINANCIAL CORP
Form 4
October 02, 2013

FORM 4

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person *
Perry Christopher J

2. Issuer Name and Ticker or Trading Symbol
WINTRUST FINANCIAL CORP [WTFC]

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)

9700 WEST HIGGINS ROAD, 8TH FLOOR

06/30/2010

(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

ROSEMONT, IL 60018

(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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| | | | Code | V | Amount or Price | | |
| Common Stock | 06/30/2010 | | A | | 600 ⁽¹⁾ A \$ 37.5 | 3,262 | D |
| Common Stock | 09/30/2010 | | A | | 521 ⁽¹⁾ A \$ 34.28 | 3,783 | D |
| Common Stock | 12/31/2010 | | A | | 795 ⁽¹⁾ A \$ 32.57 | 4,578 | D |
| Common Stock | 03/31/2011 | | A | | 690 ⁽¹⁾ A \$ 33.41 | 5,268 | D |
| Common Stock | 06/30/2011 | | A | | 385 ⁽¹⁾ A \$ 36.76 | 5,653 | D |

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| | | | | | | | | | |
|--------------|------------|--|---|----------------|---|----------|--------|---|-----------------------|
| Common Stock | 09/30/2011 | | A | 669 <u>(1)</u> | A | \$ 31.86 | 6,322 | D | |
| Common Stock | 12/31/2011 | | A | 674 <u>(1)</u> | A | \$ 25.81 | 6,996 | D | |
| Common Stock | 03/31/2012 | | A | 933 <u>(1)</u> | A | \$ 28.05 | 7,929 | D | |
| Common Stock | 06/30/2012 | | A | 714 <u>(1)</u> | A | \$ 35.79 | 8,643 | D | |
| Common Stock | 09/30/2012 | | A | 694 <u>(1)</u> | A | \$ 35.5 | 9,337 | D | |
| Common Stock | 12/31/2012 | | A | 590 <u>(1)</u> | A | \$ 37.57 | 9,927 | D | |
| Common Stock | 03/31/2013 | | A | 729 <u>(1)</u> | A | \$ 36.7 | 10,656 | D | |
| Common Stock | 06/30/2013 | | A | 644 <u>(1)</u> | A | \$ 37.04 | 11,300 | D | |
| Common Stock | 09/30/2013 | | A | 605 <u>(2)</u> | A | \$ 38.28 | 11,905 | D | |
| Common Stock | | | | | | | 15,750 | I | FBO Minor Child |

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. Price of Derivative Security (Instr. 5) | 9. Number of Derivative Securities Beneficially Owned (Instr. 6) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|--|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| Perry Christopher J 9700 WEST HIGGINS ROAD, 8TH FLOOR ROSEMONT, IL 60018 | X | | | |

Signatures

/s;/Lisa J. Pattis,
Attorney-in-fact

10/02/2013

__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) Shares earned for services as a Director of the Company in accordance with the Director's Deferred Fee and Stock Plan approved by the Shareholders and inadvertently not previously reported by the Issuer.
- (2) Shares earned for the third quarter of 2013 for services as a Director of the Company in accordance with the Director's Deferred Fee and Stock Plan approved by the Shareholders.

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.