Edgar Filing: STEIN MART INC - Form 4

CTEIN MADT INC

| Form 4 | | | | | | | | | | | |
|--|--|---|---------------------------------------|---|------------------------|-----------------------|---|---|--|----------------------|--|
| January 16, 2 FORM | Λ | STATES | | | | | NGE (| COMMISSION | - | PPROVAL 3235-0287 | |
| Check this if no longe subject to Section 16 Form 4 or Form 5 obligation may conti <i>See</i> Instru- 1(b). | er STATEM 5. Filed pur ^s Section 17(a | Washington, D.C. 20549 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 | | | | | | | Expires:January 3 200Estimated average burden hours per response0 | | |
| (Print or Type R | esponses) | | | | | | | | | | |
| FALK SUSAN Symbol STEIN I | | | | Name and | Ticker or 7 | Fradin | g | 5. Relationship of Reporting Person(s) to Issuer | | | |
| | | | | ART IN | - | T] | | (Check all applicable) | | | |
| (Month | | | 3. Date of (Month/Da 01/14/20 | • | insaction | | | _X_Director10% Owner Officer (give titleOther (specify below)below) | | | |
| | | | ndment, Date Original th/Day/Year) | | | | 6. Individual or Joint/Group Filing(CheckApplicable Line)_X_ Form filed by One Reporting Person | | | | |
| NEW YORK | K, NY 10028 | | | | | | | Form filed by M Person | Nore than One Ro | eporting | |
| (City) | (State) | (Zip) | Table | I - Non-De | erivative S | Securi | ties Ac | quired, Disposed of | f, or Beneficia | lly Owned | |
| 1.Title of Security (Instr. 3) | ty (Month/Day/Year) Execution Date, if | | on Date, if | 3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 8) (Instr. 3, 4 and 5) (A) | | | | SecuritiesHBeneficially()OwnedHFollowing()Reported() | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | | |
| Common Stock | 01/14/2014 | | | Code V A | Amount 2,708 (1) | (A) or (D) A | Price \$ 0 | Transaction(s) (Instr. 3 and 4) 28,886 | D | | |

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

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

 Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

 (e.g., puts, calls, warrants, options, convertible securities)

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| 1. Title of Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 4. Transact Code (Instr. 8) | ction C 3) I S A (I C C | tionNumber of | | | | 7. Tit Amou Under Secur (Instr | int of rlying | 8. Price of Derivative Security (Instr. 5) | 9. Nu Deriv Secur Bene Owne Follo Repo Trans (Instr |
|---|---|---|--------------------------------------|--|------------------|--|---------------------|--------------------|--|--|---|---|
| | | | Code V | | 4, and (A) (1 | | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | | | | | | |
|---|---------------|-----------|---------|-------|--|--|--|--|--|
| 1 | Director | 10% Owner | Officer | Other | | | | | |
| FALK SUSAN 1040 PARK AVENUE APT. 14 F NEW YORK, NY 10028 | Х | | | | | | | | |
| Signatures | | | | | | | | | |
| Greg Lohman, as Attorney-in-I Susan Falk | | 01/16/2 | 2014 | | | | | | |

**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) Restricted shares granted pursuant to the Issuer's 2001 Omnibus Plan. The shares cliff vest 100% on the third anniversary of the date of grant.

Date

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.