

BABCOCK JOHN P

Form 4

March 13, 2018

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
Number: 3235-0287
Expires: January 31,
2005
Estimated average
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(Print or Type Responses)

1. Name and Address of Reporting Person *
BABCOCK JOHN P

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)
500 HILLS DRIVE, SUITE 300, PO
BOX 700

3. Date of Earliest Transaction
(Month/Day/Year)
03/11/2018

____ Director ____ 10% Owner
____X____ Officer (give title below) ____ Other (specify below)
SEVP & Pres of Priv Wealth Mgt

(Street)
BEDMINSTER, NJ 07921-1538

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 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)
Common Stock	03/11/2018		F ⁽⁶⁾	V Amount (D) Price 1,693 D \$ 34.71	73,381.67	D ⁽²⁾	
Common Stock	03/11/2018		F ⁽⁶⁾	V Amount (D) Price 1,309 D \$ 34.71	72,072.67	D ⁽²⁾	
Common Stock	03/11/2018		F ⁽⁶⁾	V Amount (D) Price 810 D \$ 34.71	73,719.67	D ⁽²⁾	
Common Stock	03/11/2018		F ⁽⁶⁾	V Amount (D) Price 165 D \$ 34.71	74,052.67	D ⁽²⁾	
Common Stock	03/11/2018		F ⁽⁶⁾	V Amount (D) Price 457 D \$ 34.71	74,981.17	D ⁽²⁾	

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Common Stock	3,842	I	Rabbi Trust ⁽⁷⁾
Common Stock	5,324.9854 <u>(1)</u>	I	401(K)

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

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SEC 1474
(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)		
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Restricted Stock Unit	(3)							(4)	(4)	Common Stock	10,455	
Restricted Stock Unit	(3)							(5)	(5)	Common Stock	1,995	

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
BABCOCK JOHN P 500 HILLS DRIVE, SUITE 300 PO BOX 700 BEDMINSTER, NJ 07921-1538	SEVP & Pres of Priv Wealth Mgt

Signatures

John P. Babcock 03/13/2018

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) Includes 401(K) contributions used to purchase PGC stock.
- (2) 10,804 shares held in trust
- (3) Each restricted stock unit represents a contingent right to receive one share of common stock of Peapack-Gladstone Financial Corporation.
- (4) The restricted stock units vest and settle in stock in three approximately equal installments on each of the first three anniversaries of the grant date.
- (5) The restricted stock units vest and settle in stock in five approximately equal installments on each of the first five anniversaries of the grant date.
- (6) Shares withheld to satisfy tax withholding obligations arising from settlement of restricted stock units.
- (7) Held indirectly through a rabbi trust pursuant to a non-qualified deferred compensation plan.

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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