

PEAPACK GLADSTONE FINANCIAL CORP

Form 3

March 10, 2017

**FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION**

Washington, D.C. 20549

OMB APPROVAL

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**INITIAL STATEMENT OF 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 \*

Â Chalkan Lisa

(Last)

(First)

(Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)

04/21/2016

3. Issuer Name and Ticker or Trading Symbol

PEAPACK GLADSTONE FINANCIAL CORP [PGC]

4. Relationship of Reporting Person(s) to Issuer

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

(Check all applicable)

☐ Director ☐ 10% Owner☐ Officer ☐ Other

(give title below) (specify below)

EVP, Chief Credit Officer

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting Person☐ Form filed by More than One Reporting Person500 HILLS DRIVE, SUITE  
300,Â P.O. BOX 700

(Street)

BEDMINSTER,Â NJÂ 07921

(City)

(State)

(Zip)

**Table I - Non-Derivative Securities Beneficially Owned**1. Title of Security  
(Instr. 4)2. Amount of Securities Beneficially Owned  
(Instr. 4)3. Ownership Form:  
Direct (D)  
or Indirect (I)  
(Instr. 5)4. Nature of Indirect Beneficial Ownership  
(Instr. 5)

Common Stock

11,296 <sup>(1)</sup>

D

Â

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

SEC 1473 (7-02)

**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 Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**1. Title of Derivative Security  
(Instr. 4)2. Date Exercisable and Expiration Date  
(Month/Day/Year)3. Title and Amount of Securities Underlying Derivative Security  
(Instr. 4)

Title

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security:  
Direct (D)6. Nature of Indirect Beneficial Ownership  
(Instr. 5)

|                     |                    |                                  |                                  |
|---------------------|--------------------|----------------------------------|----------------------------------|
| Date<br>Exercisable | Expiration<br>Date | Amount or<br>Number of<br>Shares | or Indirect<br>(I)<br>(Instr. 5) |
|---------------------|--------------------|----------------------------------|----------------------------------|

## Reporting Owners

| Reporting Owner Name / Address                                                     | Relationships |           |                             |       |
|------------------------------------------------------------------------------------|---------------|-----------|-----------------------------|-------|
|                                                                                    | Director      | 10% Owner | Officer                     | Other |
| Chalkan Lisa<br>500 HILLS DRIVE, SUITE 300<br>P.O. BOX 700<br>BEDMINSTER, NJ 07921 | Â             | Â         | Â EVP, Chief Credit Officer | Â     |

## Signatures

/s/ Ellen S. Knarr,  
attorney-in-fact

03/10/2017

\_\_Signature of Reporting Person

Date

## Explanation of Responses:

\* If the form is filed by more than one reporting person, *see* Instruction 5(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).

The amount of securities reported represents a restricted stock grant on May 19, 2015 of 6,074 shares which will vest in equal annual installments on May 19, 2016, May 19, 2017 and May 19, 2018; a restricted stock grant on March 11, 2016 of 2,611 shares each which

(1) will vest in equal annual installments on March 11, 2017, March 11, 2018 and March 11, 2019; and a restricted stock grant on March 11, 2016 of 2,611 shares which will vest in equal annual installments on March 11, 2017, March 11, 2018, March 11, 2019, March 11, 2020 and March 11, 2021.

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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