Maurer Mark Lowry Form 4 February 15, 2019

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

2. Issuer Name and Ticker or Trading

OMB Number:

3235-0287

Expires:

January 31, 2005

0.5

Estimated average burden hours per

response...

**OMB APPROVAL** 

if no longer subject to Section 16. Form 4 or Form 5

Check this box

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940 See Instruction

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* Maurer Mark Lowry

Symbol INTL FCSTONE INC. [INTL] 5. Relationship of Reporting Person(s) to

(Check all applicable)

CEO - subsidiary entity

Issuer

(First) (Last)

(Middle)

3. Date of Earliest Transaction

Director

10% Owner

230 SOUTH LASALLE, SUITE

(Street)

(Month/Day/Year)

02/13/2019

Filed(Month/Day/Year)

Officer (give title below) below)

\_\_X\_\_ Other (specify

10-500

4. If Amendment, Date Original

6. Individual or Joint/Group Filing(Check

Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Person

CHICAGO, IL 60604

(City) (State) (Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1.Title of Security (Instr. 3)

2. Transaction Date 2A. Deemed (Month/Day/Year) Execution Date, if

(Month/Day/Year)

3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 3, 4 and 5) (Instr. 8)

5. Amount of Securities Beneficially Owned Following Reported

6. Ownership 7. Nature of Form: Direct Indirect (D) or Beneficial Indirect (I)

(Instr. 4)

Ownership (Instr. 4)

(A) or

Transaction(s) (Instr. 3 and 4)

10,905

Common Stock

Code V Amount (D) Price

D

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)

#### Edgar Filing: Maurer Mark Lowry - Form 4

1. Title of	2.	3. Transaction Date		4.	5. Number of	6. Date Exercisab	le and	7. Title and A	
Derivative Security (Instr. 3)	Conversion or Exercise Price of Derivative Security	(Month/Day/Year)	Execution Date, if any (Month/Day/Year)	Code (Instr. 8)	Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	Expiration Date (Month/Day/Year)		Underlying S (Instr. 3 and	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amous Numb Shares
Stock Options	\$ 45 <u>(2)</u>	02/13/2019		A	100,000	12/05/2021(3)	12/05/2026	Common Stock	100,0

# **Reporting Owners**

Reporting Owner Name / Address	Relationships						
<b>F-B</b>	Director	10% Owner	Officer	Other			
Maurer Mark Lowry				CEO			
230 SOUTH LASALLE				CEO -			
SUITE 10-500				subsidiary			
CHICAGO, IL 60604				entity			

## **Signatures**

Mark L. Maurer 02/15/2019

\*\*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).
- The option grant was approved by the Company's Board of Directors on December 5, 2018, subject to shareholder approval of an
- (1) Amendment to the Stock Option Plan under which the options were granted. The Company's shareholders approved the Amendment on February 13, 2019. The Amendment increased the number of shares that could be granted under the plan.
- (2) The strike price of the grant was set by the Company's Board of Directors at 113.5% of the closing price on December 4, 2018.
- (3) The options vest in equal tranches on each of the third, fourth, fifth, sixth and seventh anniversaries of the 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.

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