Edgar Filing: OBER DOUGLAS G - Form 144

OBER DOUGLAS G Form 144 November 30, 2012

Each Broker Through

November 3	30, 2012								
UNITED STATES						OMB APPROVAL			
SECURITIES AND EXCHANGE COMMISSION						OMB Number:	3235-0101		
Washington, D.C. 20549					Expires:	February 28, 2014			
								Estimated burden	d average
		FORM 1	144					hours per 1.00 response	
	NOTICE OF	F PROPOSED SA	ALE	E OF SECURITI	IES			SEC USE ONLY	
	PURSUANT TO RUL	E 144 UNDER T	ГНЕ	SECURITIES A	ACT (OF 1933		DOCUMENT SEQUENCE NO.	
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Whom the

Securities To Be Sold	Securities are to be Offered or Each Market Maker	File Number	To Be Sold	Value	Outstanding	(See instr. 3(f))	Exchange
	who is Acquiring the Securities		(See instr. 3(c))	(See instr. 3(d))	(See instr. 3(e))	(MO. DAY YR.)	(See instr. 3(g))
Common	E*Trade Financial Corporation 1271 Avenue of the Americas 14th Floor New York, New York 10020-1302		43,646	\$456,934.61	91,105,911	11/30/2012	NYSE

INSTRUCTIONS:

- 1. (a) Name of issuer
 - (b) Issuer's I.R.S. Identification Number
 - (c) Issuer's S.E.C. file number, if any
 - (d) Issuer's address, including zip code
 - (e) Issuer's telephone number, including area code
- 2. (a) Name of person for whose account the securities are to be sold
 - (b) Such person's relationship to the issuer (e.g., officer, director, 10% stockholder, or member of immediate family of any of the foregoing)
 - (c) Such person's address, including zip code

- 3. (a) Title of the class of securities to be sold
 - (b) Name and address of each broker through whom the securities are intended to be sold
 - (c) Number of shares or other units to be sold (if debt securities, give the aggregate face amount)
 - (d) Aggregate market value of the securities to be sold as of a specified date within 10 days prior to filing of this notice
 - (e) Number of shares or other units of the class outstanding, or if debt securities the face amount thereof outstanding, as shown by the most recent report or statement published by the issuer
 - (f) Approximate date on which the securities are to be sold
 - (g) Name of each securities exchange, if any, on which the securities are intended to be sold

Potential persons who are to respond to the collection of information contained in this form are SEC 1147 not required to respond unless the form displays a currently valid OMB control number. (08-07)

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TABLE I — SECURITIES TO BE SOLD

Furnish the following information with respect to the acquisition of the securities to be sold and with respect to the payment of all or any part of the purchase price or other consideration therefor:

			Name of Person from			
			Whom Acquired	Amount of		
Title of	Date you	Nature of Acquisition	(If gift, also give date	Securities	Date of	Nature of
the Class	Acquired	Transaction	donor acquired)	Acquired	Payment	Payment
Common	(1)	<u>(2)</u>	<u>(3)</u>	43,646	<u>(4)</u>	<u>(5)</u>

INSTRUCTIONS: If the securities were purchased and full payment therefor was not made in cash at the time of purchase, explain in the table or in a note thereto the nature of the consideration given. If the consideration consisted of any note or other obligation, or if payment was made in installments describe the arrangement and state when the note or other obligation was discharged in full or the last installment paid.

TABLE II — SECURITIES SOLD DURING THE PAST 3 MONTHS

Furnish the following information as to all securities of the issuer sold during the past 3 months by the person for whose account the securities are to be sold.

Name and Address of Seller	Title of Securities Sold	Date of Sale	Amount of Securities Sold	Gross Proceeds
Douglas G. Ober 7 St. Paul Street, Ste 1140	Common	11/21/2012	2,270	\$23,572.00
Baltimore, MD 21202				

EXPLANATION OF RESPONSES:

- 1. The shares were acquired beginning in 1980 through 2012.
- 2. Acquired through periodic contributions to Mr. Ober's Adams Express Company Employee Thrift Plan account and matching contributions by the Company.
- 3. The Trustee for the Adams Express Company Employee Thrift Plan purchased the shares in open market transactions.
- 4. Various dates between 1980 and 2012.
- 5. Voluntary contributions by Mr. Ober to the Thrift Plan and Company matching contributions, in each case in cash.

REMARKS:

INSTRUCTIONS:

See the definition of "person" in paragraph (a) of Rule 144. The person for whose account the securities to which this Information is to be given not only as to the person for whose account the securities are to be sold but also as to all other persons included in that definition. In addition, information shall be given as to sales by all persons whose sales are required by paragraph (e) of Rule 144 to be aggregated with sales for the account of the person filing this notice.

November 30, 2012 DATE OF NOTICE

ATTENTION: Intentional

DATE OF PLAN ADOPTION OR GIVING OF INSTRUCTION, IF **RELYING ON RULE 10B5-1**

SEC 1147 (02-08)

misstatements or omission of facts constitute

Federal Criminal Violations (See 18 U.S.C. 1001)

ATTENTION:

notice relates are to be sold hereby represents by signing this notice that he does not know any material adverse information in regard to the current and prospective operations of the Issuer of the securities to be sold which has not been publicly disclosed. If such person has adopted a written trading plan or given trading instructions to satisfy Rule 10b5-1 under the Exchange Act, by signing the form and indicating the date that the plan was adopted or the instruction given, that person makes such representation as of the plan adoption or instruction date.

/s/ Douglas G. Ober (SIGNATURE)

The notice shall be signed by the person for whose account the securities are to be sold. At least one copy of the notice shall be manually signed. Any copies not manually signed shall bear typed or printed signatures.

REMARKS: