SEC Form 4

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

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

OMB APPROVAL OMB Number 3235-0287 Estimated average burder 0.5 hours per response:

1. Name and Address of Reporting Person * <u>STROHM DAVID N</u>				2. Issuer Name and Ticker or Trading Symbol Oportun Financial Corp [OPRT]							tionship of Reporting Person(s) to Issuer all applicable) Director 10% Owner			
(Last)	(First)	(Middle)		3. Date of Earliest Transaction (Month/Day/Year) 09/30/2020							Officer (give title below)	Other below)	(specify)	
C/O OPORTUN FINANCIAL CORPORATION 2 CIRCLE STAR WAY				4. If Amendment, Date of Original Filed (Month/Day/Year)						6. Indiv	, , ,			
(Street)											Form filed by More	than One Report	ng Person	
SAN CARLOS	СА	94070												
(City)	(State)	(Zip)												
		Table I - No	n-Derivati	tive S	ecurities Acq	uired,	Disp	osed of, or	Benefic	cially Ow	rned			
Date			2. Transacti Date (Month/Day/		2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)		4. Securities Ad Disposed Of (D			5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership	
						Code	v	Amount	(A) or (D)	Price	(Instr. 3 and 4)		(Instr. 4)	
Common Stock			09/30/20	.020		A		1,326(1)	Α	\$ <mark>0</mark>	16,835	D		
													See	

footnote⁽²⁾ Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 6. Date Exercisable and 3. Transaction 5. Number of 9. Number of 11. Nature 1. Title of 3A. Deemed 7. Title and Amount of 8. Price of 10 curities Underlying Derivative Date Execution Date Transaction Derivative Expiration Date Derivative derivative Ownership of Indirect Conversion . (Month/Day/Year) (Month/Dav/Year **Derivative Security** Security (Instr. 3) or Exercise if anv Code (Instr. Securities Security Securities Form: Beneficial Price of (Month/Day/Year) Acquired (A) (Instr. 3 and 4) (Instr. 5) Beneficially Direct (D) Ownership 8) Derivative or Disposed of Owned or Indirect (Instr. 4) (D) (Instr. 3, 4 Following (I) (Instr. 4) Security and 5) Reported Transaction(s) Amount (Instr. 4) Number Expiration Date Code v (A) (D) Exercisable . Date Title of Shares

Explanation of Responses:

Common Stock

1. The shares represent a fully vested restricted stock unit award. The Reporting Person has elected to defer delivery of the shares, pursuant to the Restricted Stock Unit Award Grant Notice (Non-Employee Director) and Restricted Stock Unit Award Agreement and the deferral election form, subject to compliance with the Internal Revenue Code Section 409A. The shares will be delivered in a lump sum on January 30 of the calendar year following the Reporting Person's separation of service from the Issuer

2. The shares are held by Mapache Investments L.P. Mr. Strohm is the General Partner of Mapache Investments, L.P. and has voting and investment control over these shares.

Remarks:

/s/ Kathleen Layton (Attorney-in-10/02/2020 Fact) ** Signature of Reporting Person Date

510,839

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

* 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.