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

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

(I) (Instr. 4)

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

1. Name and Address of Reporting Person* PASCARELLA CARL						2. Issuer Name and Ticker or Trading Symbol <u>Oportun Financial Corp</u> [OPRT]							5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X Director 10% Owner				
(Last)	(First)	```	iddle)		3. Date of Earliest Transaction (Month/Day/Year) 03/31/2021								Director Officer (g below)	ive title		er (specify	
C/O OPORTUN FINANCIAL CORPORATION 2 CIRCLE STAR WAY					4. If Amendment, Date of Original Filed (Month/Day/Year)							6. Indiv X	6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person Form filed by More than One Reporting Person				
(Street) SAN CARLOS CA 94070												Form file	d by More	than One Repo	rting Person		
(City)	(State)	(Zi	p)														
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned																	
Date				nsaction n/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 a				5. Amount Securities Beneficial Following	y Owned Reported	6. Ownership Form: Direct (or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)		
							Code	v	Amount		(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)			(instr. 4)	
Common Stock 03/2					31/2021		Α		993 (1)	Α	\$ <mark>0</mark>	\$0 135,231		D		
	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)	rivative Conversion Date Executio curity (Instr. 3) or Exercise (Month/Day/Year) if any		3A. Deemed Execution D if any (Month/Day/	Date, Transaction Code (Instr.		5. Number of Derivative Securities Acquired (A) or Disposed of	6. Date Exercisable and Expiration Date (Month/Day/Year) 7. Title and J Securities U Derivative S (Instr. 3 and			urities Uno vative Sec	derlying curity	8. Price of Derivative derivative Security Securities (Instr. 5) Beneficia Owned		e Owners s Form:	Beneficial Ownership		

Explanation of Responses:

Security

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 equal annual installments over two years beginning on the earlier of: (i) January 30 of the calendar year following the Reporting Person's separation of service from the Issuer or (ii) January 30, 2026.

Date

Exercisable

Expiration

Title

Date

(D) (Instr. 3, 4 and 5)

(D)

(A)

Remarks:

/s/ Kathleen Layton (Attorney-in-04/01/2021 Fact)

Following Reported

(Instr. 4)

Transaction(s)

Amount

of Shares

or Number

** Signature of Reporting Person Date

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).

Code v

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.