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

1. Name and Address of Reporting Person * <u>STROHM DAVID N</u>				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) (Middle)			3. Date of Earliest Transaction (Month/Day/Year) 06/08/2021						Officer (give title below)	Other (specify below)		
C/O OPORTUN FINANCIAL CORPORATION 2 CIRCLE STAR WAY				4. If Amendment, Date of Original Filed (Month/Day/Year)					6. Indiv X				
(Street) SAN CARLOS CA 94070										Form filed by More	than One Reporti	ng Person	
(City)	(State)	(Zip)											
		Table I - No	n-Derivative S	Securities Acq	uired,	Disp	osed of, or	Benefic	cially Ow	ned			
Date			2. Transaction Date (Month/Day/Year)	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 (Instr. 4)	
					Code	v	Amount	(A) or (D)	Price	(Instr. 3 and 4)		(11150.4)	
Common Stock 06/0			06/08/2021		A		6,010 ⁽¹⁾	A	(2)	24,407	D		

See Common Stock 271,160 Т footnote⁽³⁾ Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 6. Date Exercisable and 1. Title of 3. Transaction 5. Number of 7. Title and Amount of 9. Number of 11. Nature 3A. Deemed 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 Date Expiration Code v (A) (D) Exercisable . Date Title of Shares

Explanation of Responses:

1. Represents an award of restricted stock units that will vest one-fourth on each of September 8, 2021, December 8, 2021, March 8, 2022, and upon the earlier of (i) the date immediately preceding the Issuer's 2022 annual stockholder meeting or (ii) June 8, 2022, subject to the Reporting Person's continued service through such date.

2. Each restricted stock unit represents the right to receive at settlement, one share of common stock.

3. 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-06/10/2021 Fact) ** 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).

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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