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 <u>Vazquez Raul</u>		son*	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)					
(Last) OPORTUN FINA	(First)	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 03/03/2020	x	Director Officer (give title below) Chief Executi	10% Owner Other (specify below) ve Officer				
2 CIRCLE STAR	WAY		4. If Amendment, Date of Original Filed (Month/Day/Year)		6. Individual or Joint/Group Filing (Check Applicable Line)					
(Street) SAN CARLOS	СА	94070	03/04/2020 	X	Form filed by One Rep Form filed by More tha	orting Person n One Reporting Person				
(City)	(State)	(Zip)								
Table L. Non-Derivative Securities Acquired Disposed of or Beneficially Owned										

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

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	Execution Date, Transaction			4. Securities Ac Disposed Of (D			Securities Beneficially Owned Following Reported	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	Transaction(s) (Instr. 3 and 4)		(1150.4)
Common Stock	03/03/2020		М		17,848(1)	Α	(2)	202,673(1)	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)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transac Code (In 8)			ative ities ired (A) or ised of (D)	6. Date Exerce Expiration D (Month/Day/ ¹	ate	7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	Following Reported	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		Transaction(s) (Instr. 4)		
Restricted Stock Units	(2)	03/03/2020		М			17,848 ⁽¹⁾	(3)	(3)	Common Stock	17,848(1)	\$0	53,546	D	

Explanation of Responses:

1. Shares will be delivered to the Reporting Person in May 2020. This amount will be adjusted for the sale of shares to cover applicable taxes on the delivery date.

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

3. The Reporting Person was granted RSUs which represent a contingent right to receive one share of Common Stock for each RSU. Twenty-Five per cent (25%) of the RSUs vested on March 3, 2020 and the balance vests annually over three (3) years, provided that the Reporting Person remains in continuous service to the Issuer on each vesting date.

Remarks:

As a result of a clerical error, this amendment is being filed to correct the number of shares acquired in Table I from 17,488 shares to 17,848 shares, and to show that 17,848 shares were disposed of, and not acquired, in Table II.

/s/Kathleen	Layton	(Attorney-in-	03/12/2020
Fact)			03/12/2020

** 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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