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* COBLENTZ JONATHAN AARON			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)							
			3. Date of Earliest Transaction (Month/Day/Year) 11/11/2021	x	Director Officer (give title below) CFO & Chief Adu	10% Owner Other (specify below) min Officer					
2 CIRCLE STAR WAY			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person							
(Street) SAN CARLOS	СА	94070	11/10/2021	X	Form filed by More than	0					
(City)	(State)	(Zip)									
	Table I - 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 2A. Deemed 3. 4. Securities Acquired (A) o (Month/Day/Year) Execution Date, (Month/Day/Year) Transaction Code (Instr. 8) Disposed Of (D) (Instr. 3, 4 instrument)				5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership			
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock	11/11/2021		M ⁽¹⁾		1,203	A	\$1.32	62,059	D	
Common Stock	11/11/2021		S ⁽¹⁾		1,203	D	\$27.5 ⁽²⁾	60,856	D	
Common Stock	11/12/2021		M ⁽¹⁾		9,197	A	\$1.32	70,053	D	
Common Stock	11/12/2021		S ⁽¹⁾		9,197	D	\$27.5 ⁽²⁾	60,856	D	
Common Stock								120,054	Ι	See footnote. ⁽³⁾

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)			6. Date Exercisable and Expiration Date (Month/Day/Year)		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)	11. Nature of Indirect Beneficial Ownership (Instr. 4)		
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		Transaction(s) (Instr. 4)		
Stock Option (Right to Buy)	\$1.32	11/11/2021		М			1,203	(4)	08/01/2022	Common Stock	1,203	\$0	102,967	D	
Stock Option (Right to Buy)	\$1.32	11/12/2021		М			9,197	(4)	08/01/2022	Common Stock	9,197	\$0	93,770	D	

Explanation of Responses:

1. Stock option exercise and sale effected pursuant to a Rule 10b5-1 trading plan entered into by the Reporting Person on 12/8/2020.

2. All shares were sold at the same price.

3. Certain of these shares are held in the Jonathan A. Coblentz Revocable Trust U/A/D 3/31/2017 for which the Reporting Person is the Trustee.

4. The option is fully vested.

Remarks:

This Form 4/A is being filed solely to correct an inadvertent error in the transaction date of the last reported stock sale in column 2 of Table I.

/s/ Kathleen Layton (Attorney-in-11/15/2021

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.

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.