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

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]									ationship of k all applical Director		Person(s) to Issuer	
(Last)	(First)					3. Date of Earliest Transaction (Month/Day/Year) 06/03/2020									Officer (below)	give title		Other (below)	
C/O OPORTUN FINANCIAL CORPORATION 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 CA 94070															Form file	ed by More	than O	ne Reportir	ig Person
(City)	(State)	(Zi Ta	^{p)} Ible I - No	n-Der	 ivative	e Se	curitie	s Aca	uired.	Disp	osed of	or	Benefi	cially Ov	wned				
Date					2. Transaction Date Month/Day/Year)		2A. Deemed Execution Date, if any (Month/Day/Year)					. Securities Acquired (A) or isposed Of (D) (Instr. 3, 4 ar			Securities Beneficial Following	5. Amount of Securities Beneficially Owned Following Reported		nership Direct (D) irect (I) 4)	7. Nature of Indirect Beneficial Ownership
									Code	v	Amount		(A) or (D)	Price	 Transaction(s) (Instr. 3 and 4) 				(Instr. 4)
Common Stock 06/0					03/2020				Α		10,009(1)		Α	\$ <u>0</u>	13,632			D	
Common Stock															510,839			Ι	See footnote ⁽²⁾
			Table II -								sed of, o nvertible				ned				
1. Title of Derivative Security (Instr. 3)	tive Conversion Date Execution Date		ate,	Code (Instr.		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		6. Date Exercisable and Expiration Date (Month/Day/Year)			7. Title and Amou Securities Underl Derivative Securit (Instr. 3 and 4)		derlying	8. Price of Derivative Security (Instr. 5)	9. Number derivative Securities Beneficiall Owned Following Reported Transactio (Instr. 4)	e s ally g	ly Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)	

Explanation of Responses:

1. Represents an award of restricted stock units that will vest one-fourth on each of September 3, 2020, December 3, 2020, March 3, 2021, and upon the earlier of (i) the date of the Issuer's 2021 annual stockholder meeting or (ii) June 3, 2021, subject to the Reporting Person's continued service through such date.

(D)

Date

Exercisable

Expiration

Title

Date

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.

Code v (A)

Remarks:

/s/ Kathleen Layton (Attorney-in-06/04/2020 Fact)

** Signature of Reporting Person

Number

of Shares

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.

OMB APPROVAL