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

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

3. Date of Earliest Transaction (Month/Day/Year) Officer (g (Last) (First) (Middle) C/O OPORTUN FINANCIAL CORPORATION 4. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Join 2 CIRCLE STAR WAY 4. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Join (Street) SAN CARLOS CA 94070 (City) (State) (Zip) Form filee Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1. Title of Security (Instr. 3) 2. Transaction 3. A Deemed 3. Transaction Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) 5. Amount Securities Beneficially Owned 1. Title of Security (Instr. 3) 2. Transaction 3. A Deemed Transaction Code (Instr. 8) 1. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5) 5. Amount Securities Beneficially Following I Transaction	6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person									<u>n Fina</u> ı		2. Iss Opc		ung Person	•	1. Name and Addre				
2 CIRCLE STAR WAY 4. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Join X (Street) SAN CARLOS CA 94070 (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1. Title of Security (Instr. 3) 2. Transaction Date (Month/Day/Year) 3. Transaction Transaction (Month/Day/Year) 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) 5. Amount Securities (Month/Day/Year) 0 Code V Amount (A) or Price Transaction (Instr. 3)						/Year)	th/Day	on (Mon	ransactio				,	,	. ,	1 · /				
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1. Title of Security (Instr. 3) 2. Transaction Date (Month/Day/Year) 2A. Deemed Execution Date, (Month/Day/Year) 3. Transaction Code (Instr. 3) 4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5) 5. Amount Following Transaction Code (Instr. 8) 1. Title of Security (Instr. 3) 2. Transaction Date (Month/Day/Year) 3. Transaction Code (Instr. 8) 3. Transaction Code (Instr. 8) 5. Amount Following Transaction (Instr. 3, 4 and 5) 5. Amount (Month/Code (Instr. 8))	orm filed by More	Form										_				SAN CARLOS				
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	str. 3 and 4)		Price			ode V Amount		Code												
Common Stock 06/03/2020 A 10,009 ⁽¹⁾ A \$0 12,1	12,150	\$0 12,150		10,009 ⁽¹⁾ A		10,009 ⁽¹⁾ A			A			0	06/03/202				Common Stock			
Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)		/ Owned				,		,						•						
1. Title of Derivative Security (Instr. 3) 2. Conversion or Exercise Price of Derivative Security 3. Transaction Date (Month/Day/Year) 3.A. Deemed Execution Date, if any (Month/Day/Year) 4. Transaction Code (Instr. 8) 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 Amount of Securities Underlying Derivative Security (Instr. 3 and 4) 8. Price of Derivative Security (Instr. 5)	vative derivative urity Securitie	lying Derivati ity Security (Instr. 5	derlying curity Amount or	Securities Underl Derivative Securi (Instr. 3 and 4)		Securities Underly Derivative Security (Instr. 3 and 4) Amc or		te Secu ear) Deriv (Instr		e Securities Un ear) Derivative Se		Expira (Month	ive ies ed (A) osed of	Derivat Securit Acquire or Disp (D) (Ins		Code (In	Execution Da if any	Date	Conversion or Exercise Price of Derivative	Derivative Security (Instr. 3)

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)

Remarks:

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

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).

Code |v (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.