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). Ш

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

1. Name and Address <u>Miramontes Lo</u>			Name and Ticker o <u>In Financial (</u>				(Check	5. Relationship of Reporting Person(s) to Issue (Check all applicable) X Director 10% C					
(Last) (Filst) (Middle)				f Earliest Transactio	on (Montl	h/Day/	Year)		Officer (give title below)	Other (below)			
C/O OPORTUN FINANCIAL CORPORATION 2 CIRCLE STAR WAY				ndment, Date of Or	iginal File	ed (Mo	nth/Day/Year)	6. Indiv	, , ,				
(Street)										Form filed by More	than One Reporti	ng Person	
SAN CARLOS	CA	94070											
(City)	(State)	(Zip)											
		Table I - No	n-Derivative S	ecurities Acq	uired,	Disp	osed of, or	Benefi	cially Ow	ned			
Date		2. Transaction Date (Month/Day/Year)	Execution Date,		tion nstr.	4. Securities Ad Disposed Of (D Amount			5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)		

Common Stock		06/08/2020		М		714 ⁽¹⁾	Α	\$ <mark>0</mark>	12,864					
	Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)													

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1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security		3A. 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)	9. Number of derivative Securities Beneficially Owned 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)		
Restricted Stock Units	(2)	06/08/2020		М			714	(2)	(2)	Common Stock	714	\$ 0	0	D	

Explanation of Responses:

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

2. The Reporting Person was granted restricted stock units which represent a contingent right to receive one share of Common Stock for each restricted stock unit. The restricted stock units will vest quarterly over one year from June 6, 2019, provided that the Reporting Person remains in continuous service to the Issuer on each vesting date (the "Service and Vesting Requirement").

Remarks:

/s/ Kathleen Layton (Attorney-in-06/08/2020 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).

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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