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 C

Filed pursuant to or Section

HANGES IN BENEFICIAL OWNER	Estimated average burden hours per response: 0.5					
Section 16(a) of the Securities Exchange Act of 1934 30(h) of the Investment Company Act of 1940						
, , , , , , , , , , , , , , , , , , ,	5. Relationship of Reporting Person(s) to Issuer					

OMB APPROVAL

3235-0287

OMB Number:

1. Name and Address of Reporting Person [*] <u>PASCARELLA CARL</u>				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) X Director 10% Owr		
(Last)	(First)	(Middle)		3. Date of Earliest Transaction (Month/Day/Year) 06/30/2020						Officer (give title below)		specify
C/O OPORTUN 2 CIRCLE STAR	FINANCIAL CORP	ORATION	4. If Ame	4. If Amendment, Date of Original Filed (Month/Day/Year)				6. Indiv	6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person			
(Street) SAN CARLOS	СА	94070								Form filed by More	than One Reporti	ng Person
(City)	(State)	(Zip)										
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned												
Date		2. Transaction Date (Month/Day/Year)	Execution Date, Transaction		4. Securities Ad Disposed Of (D			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) Pr		Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock			06/30/2020		A		1,489(1)	A	\$ <mark>0</mark>	131,508	D	

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

(c.g., puls, duits, variants, options, contention 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)		Transaction Code (Instr. 8)		Derivative		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned 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)	"	

Explanation of Responses:

1. The shares represent a fully vested restricted stock unit award. The Reporting Person has elected to defer delivery of the shares, pursuant to the Restricted Stock Unit Award Grant Notice (Non-Employee Director) and Restricted Stock Unit Award Agreement and the deferral election form, subject to compliance with the Internal Revenue Code Section 409A. The shares will be delivered in equal annual installments over two years beginning on the earlier of: (i) January 30 of the calendar year following the Reporting Person's separation of service from the Issuer or (ii) January 30, 2025.

Remarks:

/s/ Kathleen	Layton	(Attorney-in-	07/01/2020
Fact)			07/01/2020

** 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.

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.