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

1. Name and Address of Reporting Person * <u>STROHM DAVID N</u>					2. Issuer Name and Ticker or Trading Symbol Oportun Financial Corp [OPRT]									k all applicat	,			unor
(First)	`	(Middle)			3. Date of Earliest Transaction (Month/Day/Year) 06/30/2020									Officer (give title below)		Other (spe below)		
C/O OPORTUN FINANCIAL CORPORATION 2 CIRCLE STAR WAY					4. If Amendment, Date of Original Filed (Month/Day/Year)													
(Street) SAN CARLOS CA 94070														Form file	d by More	than O	ne Reportin	g Person
(State)	(Zi	p)																
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned																		
Date				Date (Month/Day/Year)		2A. Deemed Execution Date, if any (Month/Day/Year)							Securities Beneficiall Following	Securities Beneficially Owned Following Reported		Direct (D) irect (I) 4)	7. Nature of Indirect Beneficial Ownership	
									v	Amount		(A) or (D)	Price	(Instr. 3 and 4)				(Instr. 4)
Common Stock 06/				/30/2020				A		1,163	(1)	Α	\$ <mark>0</mark>	15,509			D	
Common Stock														510,839			I	See footnote ⁽²⁾
Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)																		
2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	Execution D if any	ecution Date, 1		ransaction De Code (Instr. Se a) Ac or (D)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		on Da	te	Sec Deri	Securities Underlying		8. Price of Derivative Security (Instr. 5)	derivativ Securitie Beneficia Owned Following Reported	e Ownership s Form: hlly Direct (D) or Indirect g (I) (Instr. 4		Beneficial Ownership (Instr. 4)
	CAVID N (First) N FINANC AR WAY S CA (State) y (Instr. 3) y (Instr. 3)	2. Conversion or Exercise Price of Derivative 2. 3. Transaction Date (Month/Day/Year)	(First) (Middle) N FINANCIAL CORPORATION AR WAY S CA 94070 (State) (Zip) Table I - No y (Instr. 3) 2. Conversion or Exercise Price of Derivative S . Transaction Date (Month/Day/Year) S . Deemed Execution D ff any (Month/Day/	(First) (Middle) N FINANCIAL CORPORATION AR WAY S CA 94070 (State) (Zip) Table I - Non-Der y (Instr. 3) 2. Tra Date (Monti S CA 94070 (Career State) (Zip) Table I - Non-Der y (Instr. 3) 2. 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If Amendment, Date of Original Filed (Month/Day/Year) 2. Transaction Date 2. Transaction Date 06/30/2020 A 4. Securities Acquired, Disposed of, or Code (Instr. 8) 06/30/2020 A 1.163 ⁽¹⁾ Conversion Or Exercise Price of Derivative Securities 3. Transaction Code (Instr. 8) 3. Transaction Or Exercise Price of Derivative Securities 3. Deemed Execution Date, if any (Month/Day/Year) 3. Transaction Or Exercise Price of Derivative Securities 5. Number of Derivative Securities 6. Date Exercisable and Expiration Date (Month/Day/Year) 7. T Securities Acquired (A) or Disposed of (D) (Instr. 3. 4.	Oportun Financial Corp [OPRT] (First) (Middle) N FINANCIAL CORPORATION AR WAY 3. Date of Earliest Transaction (Month/Day/Year) S CA (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Benefit (Month/Day/Year) 2. Transaction (Month/Day/Year) 2. Transaction (Month/Day/Year) 3. Transaction (Of/30/2020 3. Transaction (Of/30/2020 4. If Amount (A) or (D)	Oportun Financial Corp [OPR] (Check X) (First) (Middle) N FINANCIAL CORPORATION A AR WAY	ODD VID N Oportun Financial Corp [OPRT] (Check all applicable X (First) (Middle) N FINANCIAL CORPORATION AR WAY 3. Date of Earliest Transaction (Month/Day/Year) 6. Individual or Join X (State) (Zip) Table 1 - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned y (Instr. 3) 2. Transaction Date (Month/Day/Year) 3. and the full of the full	ODD VID N Oportun Financial Corp [OPRT] (Check all applicable) (First) (Midde) N FINANCIAL CORPORATION AR WAY 3. Date of Earliest Transaction (Month/Day/Year) 6. Individual or Joint/Group F S CA 94070 4. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group F S CA 94070 5. CA 94070 (State) (Zip) 2. Transaction Date 2. Transaction Date 3. Transaction Date 3. Transaction Date 3. Transaction (Month/Day/Year) 3. Accurities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5) 5. Amount of Securities Beneficially Owned Following Reported Transaction (B) 2. Code (Instr. 1.163(1) A \$0 15,509 : O6/30/2020 A 1.163(1) A \$0 5.10,839 Code (Instr. Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 2. 3. Transaction Date S. Derivative Securities Acquired (A) Of (B) (Instr. 3 and 4) S. Frice of S. Stopported Transaction (B) (Instr. 3 and 4) S. I.5,509 2. Date S. Derivative Securities (Acquired (A) Of (B) (Instr. 3. and 4) S. Stopported Transaction (B) (Instr. 3. and 4) S. I.5,509	Oportun Financial Corp [ORT] (Check all applicable) X X Check all applicable) X X Director X Director Officer (give tille below) X Form filed by One Reporting (Check all applicable) X Form filed by More than O S CA 94070 4. If Amendment, Date of Original Filed (Month/Day/Year) 4. Securities Acquired, Disposed of, or Beneficially Owned S. Amount of Bate (Month/Day/Year) S. Amount of Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) S. 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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 a lump sum on January 30 of the calendar year following the Reporting Person's separation of service from the Issuer.

Date

Exercisable

(D)

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-Fact)
 07/01/2020

 ** Signature of Reporting Person
 Date

Number

of Shares

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.