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

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 [*] STROHM DAVID N				r Name and Ticker o tun Financial (tionship of Reporting F all applicable) Director	Person(s) to Issue 10% O				
(Last)	(First)	(Middle)	3. Date 12/31/	of Earliest Transaction 2021	on (Montł	n/Day/	'Year)		Officer (give title below)	Other (below)	specify			
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	СА	94070								Form filed by More	than One Reporti	ng Person		
(City)	(State)	(Zip)												
		Table I - No	on-Derivative	Securities Acq	uired, l	Disp	osed of, or	Benefic	ially Ow	ned				
1. Title of Security (Instr. 3) Date (Month				2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)		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)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)		
Common Stock 12/3			12/31/2021		A		772(1)	A	\$ <u>0</u>	26,585	D			

Common Stock

1. T De Se

Common Stock												271,160		I	footnote ⁽²⁾
	Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)														
Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	ate Execution Date,	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)		Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported	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)	5)	

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.

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.

Remarks:

/s/ Joan Aristei (Attorney-in-Fact) 01/03/2022 ** Signature of Reporting Person

Date

271,160

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.

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