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* Aristei Joan			2. Issuer Name <b>and</b> Ticker or Trading Symbol <u>Oportun Financial Corp</u> [ OPRT ]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner					
I I			3. Date of Earliest Transaction (Month/Day/Year) 03/30/2020	x	Officer (give title below) GC & Chief Compl	Other (specify below)			
2 CIRCLE STAR	WAY		4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line)					
(Street) SAN CARLOS	СА	94070		X	Form filed by One Repo Form filed by More than	0			
(City)	(State)	(Zip)							
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned									

## 1. Title of Security (Instr. 3) 2 Transaction 2A Deemed 4. Securities Acquired (A) or 5. Amount of 6 Ownershin Disposed Of (D) (Instr. 3, 4 and 5) Execution Date, Transaction Securities Form: Direct (D) Date if any (Month/Day/Year) Beneficially Owned (Month/Day/Year) Code (Instr. or Indirect (I) 8) Following Reported (Instr. 4)

				1					(Impeter 4)
		Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock	03/30/2020	М		847	Α	(1)	17,922	D	
Common Stock	03/30/2020	F		293	D	\$11.55	17,629	D	

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

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. Transac Code (In 8)				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	(1)	03/30/2020		М			847	(2)	(2)	Common Stock	847	\$ <mark>0</mark>	3,386	D	

Explanation of Responses:

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

2. The restricted stock units vest over four years from March 3, 2017 with 1/4 of the restricted stock units vesting on March 30, 2018 and the remainder vesting quarterly, subject to the continued service of the Reporting Person on each vesting date ("the "Service and Vesting Requirement"). In addition to the Service and Vesting Requirement, the shares will only vest upon (i) change in control of the Issuer or (ii) the first trading date following the expiration of the lock-up period applicable in connection with the Issuer's Initial Public Offering of common stock, whichever occurs first.

Remarks:

<u>/s/Kathleen Layton (Attorney-in-Fact)</u> 03/31/2020

Date

\*\* Signature of Reporting Person

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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7 Nature of

Indirect

Beneficial

Ownership