

Stewart Laura Lee
Form 4
February 07, 2018

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 OF
SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section
30(h) of the Investment Company Act of 1940

OMB APPROVAL

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
Stewart Laura Lee

2. Issuer Name **and** Ticker or Trading
Symbol
Sound Financial Bancorp, Inc.
[SFBC]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)

2400 3RD AVENUE, SUITE 150

(Street)

SEATTLE, WA 98121

(City)

(State)

(Zip)

3. Date of Earliest Transaction
(Month/Day/Year)
02/05/2018

4. If Amendment, Date Original
Filed(Month/Day/Year)

☐ Director ☐ 10% Owner
☒ Officer (give title below) ☐ Other (specify below)
President / CEO

6. Individual or Joint/Group Filing(Check
Applicable Line)
☒ Form filed by One Reporting Person
☐ Form filed by More than One Reporting
Person

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	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 Ownership (Instr. 4)
Common Stock	02/05/2018		F	Amount (A) or (D) 4,636 D	Price \$ 34.75	32,552	D
Common Stock	02/05/2018		M	874 A	\$ 8.49	33,426	D
Common Stock	02/05/2018		M	4,579 A	\$ 16.8	38,005	D
Common Stock	02/05/2018		M	4,181 A	\$ 18.36	42,186	D
Common Stock						9,024	I By ESOP

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Common Stock 18,034 I By 401(k)

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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(9-02)

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	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Amount or Number of Shares
Stock Option (Right to Buy)	\$ 8.49	02/05/2018		M	874	<u>(1)</u> 02/28/2022	Common Stock	874
Stock Option (Right to Buy)	\$ 16.8	02/05/2018		M	4,579	<u>(2)</u> 01/23/2024	Common Stock	4,579
Stock Option (Right to Buy)	\$ 18.36	02/05/2018		M	4,181	<u>(3)</u> 01/28/2025	Common Stock	4,181
Stock Option (Right to Buy)	\$ 18.36					<u>(4)</u> 01/28/2025	Common Stock	8,502

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
X	President / CEO

Stewart Laura Lee
2400 3RD AVENUE, SUITE 150
SEATTLE, WA 98121

Signatures

/s/ Matthew P. Deines,
attorney-in-fact

02/07/2018

__Signature of Reporting Person

Date

Explanation of Responses:

* 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).

- (1) Options vest in five equal annual installments beginning on February 28, 2013.
- (2) Options vest in five equal annual installments beginning on January 23, 2015.
- (3) Options vest in three equal annual installments beginning on January 28, 2015.
- (4) Options vest in five equal annual installments beginning on January 28, 2016.

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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