

HANMI FINANCIAL CORP
Form 4
November 22, 2016

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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

(Print or Type Responses)

1. Name and Address of Reporting Person *
Kim Greg D

2. Issuer Name and Ticker or Trading Symbol
HANMI FINANCIAL CORP
[HAFK]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
3660 WILSHIRE BLVD., PH-A
(Street)

3. Date of Earliest Transaction (Month/Day/Year)
11/18/2016

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
Chief Administrative Officer

LOS ANGELES, CA 90010

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

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

(City) (State) (Zip)

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 Indirect Ownership (Instr. 4)
			Code	V Amount (A) or (D) Price			
Common Stock	11/18/2016		M	1,000 A \$ 10.8	14,969 ⁽¹⁾	D	
Common Stock	11/18/2016		M	5,500 A \$ 12.54	20,469	D	
Common Stock	11/18/2016		M	25,000 A \$ 16.43	45,469	D	
Common Stock	11/18/2016		F	16,000 D \$ 30.81 ₍₂₎	29,469	D	
Common Stock	11/22/2016		S	3,000 D \$ 31.4	26,469	D	

Edgar Filing: HANMI FINANCIAL CORP - Form 4

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

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 control number.

SEC 1474
(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 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 Underlying Securities (Instr. 3 and 4)	Amount or Number of Shares
Stock Options	\$ 10.8	11/18/2016		M	1,000	04/08/2010 ⁽³⁾ 04/08/2019	Common Stock	1,000
Stock Options	\$ 12.54	11/18/2016		M	5,500	12/12/2013 ⁽⁴⁾ 12/12/2022	Common Stock	5,500
Stock Options	\$ 16.43	11/18/2016		M	25,000	08/28/2014 ⁽⁵⁾ 08/28/2023	Common Stock	25,000

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Kim Greg D 3660 WILSHIRE BLVD., PH-A LOS ANGELES, CA 90010			Chief Administrative Officer	

Signatures

/s/ Greg D. Kim 11/22/2016

**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) There was an inadvertent error on reporting person's Form 3 which resulted in an incorrect number of total shares reported. This filing updates and corrects that figure.
The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$30.75
- (2) to \$30.90. The reporting person undertakes to provide to Issuer, any security holder of the Issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within this range.

Edgar Filing: HANMI FINANCIAL CORP - Form 4

- (3) The option vested 20% one year from the grant date of 4/8/2009, and the remaining fully vested at the end of each four-year period through 4/8/2014.
- (4) The option vested 25% immediately on the grant date of 12/12/2012, and additional 25% vested on each the anniversary date, with full vesting occurring on 12/12/2015.
- (5) The option vested one-third each year on the anniversary of the grant date with full vesting occurring on 8/28/2016.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.