

CRAFT BREW ALLIANCE, INC.

Form 3

November 22, 2016

**FORM 3****UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

OMB APPROVAL

OMB  
Number: 3235-0104Expires: January 31,  
2005Estimated average  
burden hours per  
response... 0.5**INITIAL STATEMENT OF 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 \*

Hahm Derek Y

(Last)

(First)

(Middle)

2. Date of Event Requiring  
Statement

(Month/Day/Year)

11/16/2016

3. Issuer Name **and** Ticker or Trading Symbol  
CRAFT BREW ALLIANCE, INC. [BREW]4. Relationship of Reporting  
Person(s) to Issuer5. If Amendment, Date Original  
Filed(Month/Day/Year)

(Check all applicable)

☐ Director ☐ 10% Owner  
☒ Officer ☐ Other  
(give title below) (specify below)  
Vice President, Sales6. Individual or Joint/Group  
Filing(Check Applicable Line)  
☒ Form filed by One Reporting  
Person  
☐ Form filed by More than One  
Reporting Person929 NORTH RUSSELL  
STREET

(Street)

PORTLAND, OR 97227

(City)

(State)

(Zip)

**Table I - Non-Derivative Securities Beneficially Owned**1. Title of Security  
(Instr. 4)2. Amount of Securities  
Beneficially Owned  
(Instr. 4)3. Ownership  
Form:  
Direct (D)  
or Indirect  
(I)  
(Instr. 5)4. Nature of Indirect Beneficial  
Ownership  
(Instr. 5)Reminder: Report on a separate line for each class of securities beneficially  
owned directly or indirectly.

SEC 1473 (7-02)

**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.****Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**1. Title of Derivative Security  
(Instr. 4)2. Date Exercisable and  
Expiration Date  
(Month/Day/Year)Date  
ExercisableExpiration  
Date3. Title and Amount of  
Securities Underlying  
Derivative Security  
(Instr. 4)

Title

Amount or  
Number of  
Shares4. Conversion  
or Exercise  
Price of  
Derivative  
Security5. Ownership  
Form of  
Derivative  
Security:  
Direct (D)  
or Indirect  
(I)6. Nature of Indirect  
Beneficial Ownership  
(Instr. 5)

(Instr. 5)

Employee Stock Option	Â <u>(1)</u>	05/14/2022	Common stock	4,640	\$ 7.63	D	Â
Employee Stock Option	Â <u>(2)</u>	05/22/2023	Common stock	5,232	\$ 7.54	D	Â
Employee Stock Option	Â <u>(3)</u>	05/20/2024	Common stock	4,327	\$ 10.7	D	Â
Employee Stock Option	Â <u>(4)</u>	03/13/2025	Common stock	3,902	\$ 13.1	D	Â
Restricted Stock Units	Â <u>(5)</u>	Â <u>(6)</u>	Common stock	4,194	\$ <u>(7)</u>	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Hahm Derek Y 929 NORTH RUSSELL STREET PORTLAND,Â ORÂ 97227	Â	Â	Â Vice President, Sales	Â

## Signatures

/s/Edwin A. Smith by Power of Attorney for Derek Y.  
Hahm

11/22/2016

    Signature of Reporting Person

Date

## Explanation of Responses:

\* If the form is filed by more than one reporting person, *see* Instruction 5(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 were granted on 5/14/2012 under the 2010 Stock Incentive Plan and become exercisable for 20% of the Shares on each of the first five anniversaries of the grant date.
- (2) Options were granted on 5/22/2013 under the 2010 Stock Incentive Plan and become exercisable for 20% of the Shares on each of the first five anniversaries of the grant date.
- (3) Options were granted on 05/20/2014 under the 2010 Stock Incentive Plan and become exercisable for 20% of the Shares on each of the first five anniversaries of the grant date.
- (4) Options were granted on 03/13/2015 under the 2014 Stock Incentive Plan and become exercisable for 25% of the Shares on each of the first four anniversaries of the grant date.

- The reporting person received restricted stock units that will vest on March 31,2019, provided that the person continues to be employed
- (5) by the Company through that date. Upon vesting, the reporting person will receive a number of shares of common stock equal to the number of restricted stock units.
  - (6) Not applicable.

- (7) Each restricted stock unit represents a contingent right to receive one share of the Company's common stock.

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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