

HANMI FINANCIAL CORP

Form 3

October 09, 2015

FORM 3UNITED 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 *

Â Lim Jean

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

10/09/2015

3. Issuer Name **and** Ticker or Trading Symbol
HANMI FINANCIAL CORP [HAFB]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)
Chief Risk Officer6. Individual or Joint/Group
Filing(Check Applicable Line)
☒ Form filed by One Reporting
Person
☐ Form filed by More than One
Reporting Person

3660 WILSHIRE BLVD., PH-A

(Street)

LOS ANGELES,Â CAÂ 90010

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned1. 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)

Common Stock

13,646 ⁽¹⁾

D

Â

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 Exercisable Expiration
Date3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)Title Amount or
Number of4. Conversion
or Exercise
Price of
Derivative
Security5. Ownership
Form of
Derivative
Security:
Direct (D)
or Indirect6. Nature of Indirect
Beneficial
Ownership
(Instr. 5)

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				Shares		(I) (Instr. 5)	
Option for Common Stock	08/07/2007 ⁽²⁾	08/07/2016	Option for Common Stock	1,875	\$ 152.24	D	Â
Option for Common Stock	04/08/2010 ⁽³⁾	04/08/2019	Option for Common Stock	1,250	\$ 10.8	D	Â
Option for Common Stock	12/12/2013 ⁽⁴⁾	12/12/2022	Option for Common Stock	5,500	\$ 12.54	D	Â
Option for Common Stock	08/28/2014 ⁽⁵⁾	08/28/2023	Option for Common Stock	25,000	\$ 16.43	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Lim Jean 3660 WILSHIRE BLVD., PH-A LOS ANGELES, CA 90010	Â	Â	Â Chief Risk Officer	Â

Signatures

/s/ Jean Lim 10/09/2015

**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) Includes 3,334 common stock grants that are scheduled to vest on August 28, 2016.
- (2) The option vested 20% one year from the grant date of 8/7/2006, and the remaining fully vested at the end of each four-year period through 8/7/2011.
- (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 an additional 25% vested at the end of each two-year period through 12/12/2014. The remaining 25% will vest on 12/12/2015.
- (5) The option vested 33.3% one year from the grant date of 8/23/2013, and an additional 33.3% vested on 8/28/2015. The remaining 33.4% will vest 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.