

Szot Matthew K
Form 4
October 03, 2018

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 *
Szot Matthew K

(Last) (First) (Middle)

C/O S&W SEED COMPANY, 106
K STREET, SUITE 300

(Street)

SACRAMENTO, CA 95814

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
S&W Seed Co [SANW]

3. Date of Earliest Transaction
(Month/Day/Year)
10/01/2018

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director 10% Owner
 Officer (give title below) Other (specify below)
EVP Finance & Admin and CFO

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)
			Code	V	Amount or Price (A) or (D)		
Common Stock	10/01/2018		M ⁽¹⁾		684 A \$ 0	74,715 ⁽²⁾	D
Common Stock	10/01/2018		M ⁽¹⁾		1,005 A \$ 0	75,720	D
Common Stock	10/01/2018		M ⁽¹⁾		1,039 A \$ 0	76,759	D
Common Stock	10/01/2018		F ⁽³⁾		944 D \$ 2.69	75,815	D
Common Stock	10/01/2018		S ⁽⁴⁾		1,100 D \$ 2.46	74,715	D

Edgar Filing: Szot Matthew K - 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 Security (Instr. 3 and 4)	Amount or Number of Shares
Restricted Stock Unit	(5)	10/01/2018		M	684	01/01/2017 ⁽⁶⁾ 10/01/2019 ⁽⁶⁾	Common Stock	684
Restricted Stock Units	(5)	10/01/2018		M	1,005	10/01/2017 ⁽⁷⁾ 07/01/2020 ⁽⁷⁾	Common Stock	1,005
Restricted Stock Units	(5)	10/01/2018		M	1,039	10/01/2018 ⁽⁸⁾ 07/01/2021 ⁽⁸⁾	Common Stock	1,039

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

Szot Matthew K
C/O S&W SEED COMPANY
106 K STREET, SUITE 300
SACRAMENTO, CA 95814

EVP Finance & Admin and CFO

Signatures

/s/ Matthew K. Szot 10/03/2018

**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) Represents the settlement of restricted stock units ("RSUs") that vested on October 1, 2018 through the issuance of shares of common stock.

(2) Reflects the correction of an error in the number of shares beneficially owned. On January 16, 2018, the reporting person reported the sale of 1,100 shares under his Rule 10b5-1 trading plan. Subsequently, the Form 4s filed on April 3, 2018 and July 3, 2018 inadvertently overlooked that sale in the calculation of the total shares beneficially owned after the reported transactions. All transactions were timely reported. This entry updates and corrects the total shares owned by the reporting person.

(3) The reporting person is reporting the withholding of an aggregate of 944 shares of common stock that vested on October 1, 2018 pursuant to the three RSU awards referred to in Table II, but that were not issued in order to satisfy the reporting person's tax withholding obligations in connection with the settlement of such RSU awards.

(4) The sale reported on this Form 4 was made pursuant to a Rule 10b5-1 trading plan adopted by the reporting person.

(5) Each RSU is the economic equivalent of one share of S&W Seed Company common stock. The closing price of SANW on the October 1, 2018 vesting date was \$2.69.

(6) On October 5, 2016, the reporting person was granted 8,210 RSUs, of which 684 vested on October 1, 2018. The remaining unvested RSUs will continue to vest in equal installments on the first day of each quarter through and including October 1, 2019, subject to the reporting person's continued service with the Issuer on each respective vesting date.

(7) On September 18, 2017, the reporting person was granted 12,066 RSUs, of which 1,005 vested on October 1, 2018. The remaining unvested RSUs will continue to vest in equal installments on the first day of each quarter through and including July 1, 2020, subject to the reporting person's continued service with the Issuer on each respective vesting date.

(8) On August 31, 2018, the reporting person was granted 12,439 RSUs, of which 1,039 vested on October 1, 2018. The remaining unvested RSUs will continue to vest in equal installments on the first day of each quarter through and including July 1, 2021, subject to the reporting person's continued service with the Issuer on each respective vesting date.

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.