

Edgar Filing: Sound Financial Bancorp, Inc. - Form 4

Sound Financial Bancorp, Inc.  
Form 4  
February 02, 2016

**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

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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Sweeney James E

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)

3. Date of Earliest Transaction  
(Month/Day/Year)  
01/29/2016

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

C/O SOUND FINANCIAL  
BANCORP, INC., 2005 FIFTH  
AVE, SUITE 200

(Street)

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

SEATTLE, WA 98121

(City) (State) (Zip)

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

| 1. Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3. Transaction<br>Code<br>(Instr. 8) | 4. Securities Acquired<br>(A) or Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Ownership<br>(Instr. 4) |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|-------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------|-----------------------------------------|
| Common<br>Stock                       | 01/29/2016                              |                                                             | A                                    | 1,275                                                                   | A \$<br>22.31                                                                                                      | 7,429                                                                | D                                       |
| Common<br>Stock                       |                                         |                                                             |                                      |                                                                         | 8,742                                                                                                              | I                                                                    | 401(k)                                  |

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

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SEC 1474  
(9-02)

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**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) | 8. Price or Value of Underlying Securities (Instr. 3 and 4) |
|--------------------------------------------|--------------------------------------------------------|--------------------------------------|----------------------------------------------------|--------------------------------|-----------------------------------------------------------------------------------------|----------------------------------------------------------|---------------------------------------------------------------|-------------------------------------------------------------|
| Stock Option (Right to Buy)                | \$ 18.36                                               | 01/28/2015                           |                                                    | A                              | 862                                                                                     | <u>(3)</u> 01/28/2015                                    | Common Stock                                                  | 862 \$ 18.36                                                |
| Stock Option (Right to Buy)                | \$ 8.41                                                |                                      |                                                    |                                |                                                                                         | <u>(1)</u> 01/27/2019                                    | Common Stock                                                  | 1,623                                                       |
| Stock Option (Right to Buy)                | \$ 9.72                                                |                                      |                                                    |                                |                                                                                         | <u>(1)</u> 01/27/2019                                    | Common Stock                                                  | 1,623                                                       |
| Stock Option (Right to Buy)                | \$ 16.8                                                |                                      |                                                    |                                |                                                                                         | <u>(2)</u> 01/23/2024                                    | Common Stock                                                  | 6,025                                                       |

## Reporting Owners

| Reporting Owner Name / Address                                                                         | Relationships |           |         |       |
|--------------------------------------------------------------------------------------------------------|---------------|-----------|---------|-------|
|                                                                                                        | Director      | 10% Owner | Officer | Other |
| Sweeney James E<br>C/O SOUND FINANCIAL BANCORP, INC.<br>2005 FIFTH AVE, SUITE 200<br>SEATTLE, WA 98121 | X             |           |         |       |

## Signatures

/s/ Matthew P. Deines,  
attorney-in-fact 02/02/2016

\_\_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) Options vest in five equal annual installments beginning on January 27, 2010.

(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.

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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