

China John  
Form 4  
May 03, 2019

**FORM 4**

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

OMB APPROVAL

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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 \*  
China John

2. Issuer Name and Ticker or Trading Symbol  
SVB FINANCIAL GROUP [SIVB]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)  
05/01/2019

\_\_\_\_ Director \_\_\_\_ 10% Owner  
\_\_\_\_ Officer (give title below) \_\_\_\_ Other (specify below)

3005 TASMAN DRIVE

President of SVB Capital

(Street)

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

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

SANTA CLARA, CA 95054

(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 Beneficial Ownership (Instr. 4) |                      |   |                |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|----------------------|---|----------------|
|                                 |                                      |  | Code                           | V   | Amount or Price   |  |   |                      |   |                |
| Common Stock                    | 05/01/2019                           |  | M                              |   | 246   | A  | Ⓛ   | 17,818               | D |                |
| Common Stock                    | 05/01/2019                           |  | M                              |   | 292   | A  | Ⓛ   | 18,110               | D |                |
| Common Stock                    | 05/01/2019                           |  | F                              |   | 122 <sup>(2)</sup>  | D  | \$ 250.43   | 17,988               | D |                |
| Common Stock                    | 05/01/2019                           |  | F                              |   | 145 <sup>(2)</sup>  | D  | \$ 250.43   | 17,843               | D |                |
| Common Stock                    |                                      |  |                                |   |   |  |   | 5,687 <sup>(3)</sup> | I | By 401(k)/ESOP |

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

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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) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|
| Performance Restricted Stock Unit          | \$ 0   | 05/01/2019                           |  | A                              | 6,172   | 01/31/2022 <sup>(5)</sup> 05/01/2026                     | Common Stock  |
| Performance Restricted Stock Unit          | \$ 0   | 05/01/2019                           |  | A                              | 3,085   | 01/31/2022 <sup>(5)</sup> 05/01/2026                     | Common Stock  |
| Restricted Stock Unit                      | \$ 0   | 05/01/2019                           |  | M                              | 292   | <sup>(6)</sup> 05/01/2022                                | Common Stock  |
| Restricted Stock Unit                      | \$ 0   | 05/01/2019                           |  | M                              | 246   | <sup>(7)</sup> 05/01/2025                                | Common Stock  |
| Restricted Stock Unit                      | \$ 0   | 05/01/2019                           |  | A                              | 2,057   | 05/01/2022 <sup>(8)</sup> 05/01/2026                     | Common Stock  |
| Restricted Stock Unit                      | \$ 0   | 05/01/2019                           |  | A                              | 1,028   | <sup>(9)</sup> 05/01/2026                                | Common Stock  |
| Stock Option                               | \$ 250.43  | 05/01/2019                           |  | A                              | 5,726   | 05/01/2022 <sup>(10)</sup> 05/01/2026                    | Common Stock  |
| Stock Option                               | \$ 250.43  | 05/01/2019                           |  | A                              | 2,863   | <sup>(11)</sup> 05/01/2026                               | Common Stock  |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |                          |
|---------------------------------|---------------|-----------|--------------------------|
|                                 | Director      | 10% Owner | Officer                  |
| China John<br>3005 TASMAN DRIVE |               |           | President of SVB Capital |

SANTA CLARA, CA 95054

## Signatures

Wei Sun, Attorney-in-Fact for John  
China

05/03/2019

\_\_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) Each restricted stock unit represents a contingent right to receive one share of the Issuer's common Stock.
- (10) Stock options are subject to cliff vest on May 1, 2022.
- (11) Stock options are subject to annual vesting in four equal installments on the anniversary date of the grant, 25% on each of the successive anniversary dates.
- (2) Shares withheld by Issuer for payment of tax liability incurred upon vesting of restricted stock units.
- (3) The information in this report is based on 401(k)/ESOP Plan statement dated as of March 31, 2019.
- (4) Each performance-based restricted stock unit represents a contingent right to receive one share of the Issuer's common Stock.
- (5) Performance-based restricted stock units (PRSUs) are subject to both performance-based and time-based vesting and scheduled to vest on January 31, 2022.
- (6) 25%/4yr beginning on 01-May-2015.
- (7) 25%/4yr beginning on 01-May-2018.
- (8) Restricted stock units are subject to cliff vest on May 1, 2022.
- (9) Restricted stock units are subject to annual vesting in four equal installments on the anniversary date of the grant, 25% on each of the successive anniversary dates.

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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