Sound Financial Bancorp, Inc.

Form 4/A April 17, 2014

## FORM 4

## UNITED STATES SECURITIES AND EXCHANGE COMMISSION

**OMB** 

Washington, D.C. 20549 Check this box

3235-0287 Number:

**OMB APPROVAL** 

if no longer subject to Section 16. Form 4 or Form 5

obligations

January 31, Expires: 2005 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF Estimated average

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

**SECURITIES** 

burden hours per response... 0.5

may continue. See Instruction

30(h) of the Investment Company Act of 1940

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \*

(First)

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to Issuer

Riojas Rogelio

Sound Financial Bancorp, Inc.

(Check all applicable)

[SFBC]

(Last)

(Middle)

3. Date of Earliest Transaction

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

(Month/Day/Year) 01/23/2014

C/O SOUND FINANCIAL BANCORP, INC., 2005 FIFTH

**AVE, SUITE 200** 

4. If Amendment, Date Original

Applicable Line)

Filed(Month/Day/Year) 01/27/2014

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

D

6. Individual or Joint/Group Filing(Check

SEATTLE, WA 98121

(City) (State) (Zip)

(Street)

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

1.Title of Security (Instr. 3)

2. Transaction Date 2A. Deemed (Month/Day/Year) Execution Date, if

(Month/Day/Year)

3. 4. Securities TransactionAcquired (A) or Disposed of (D) Code (Instr. 8) (Instr. 3, 4 and 5)

5. Amount of Securities Beneficially Owned Following

6. Ownership 7. Nature of Form: Direct (D) or Indirect (I) (Instr. 4)

Indirect Beneficial Ownership (Instr. 4)

(A)

Reported Transaction(s)

(Instr. 3 and 4) Code V Amount Price (D)

\$0

Common Stock

01/23/2014

Α 2,410 Α

23,058

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

Persons who respond to the collection of SEC 1474 information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

(9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

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

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transacti<br>Code<br>(Instr. 8) | 5. Number on f 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.<br>De<br>Se<br>(Ir |
|---|---|---|---|---------------------------------------|---|--|--------------------|---|--|-----------------------|
|   |   |   |   | Code V                                | (A) (D)   | Date<br>Exercisable                                      | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of<br>Shares |                       |
| Stock<br>Option<br>(Right to<br>Buy)                | \$ 8.41   |   |   |                                       |   | <u>(1)</u>   | 01/27/2019         | Common<br>Stock   | 1,623                                  |                       |
| Stock<br>Option<br>(Right to<br>Buy)                | \$ 9.72   |   |   |                                       |   | <u>(1)</u>   | 01/27/2019         | Common<br>Stock   | 1,623                                  |                       |
| Stock<br>Option<br>(Right to<br>Buy)                | \$ 16.8   | 01/23/2014                              |   | A                                     | 6,025   | (2)  | 01/23/2024         | Common<br>Stock   | 6,025                                  |                       |

# **Reporting Owners**

| Reporting Owner Name / Address  | Relationships |           |         |       |  |  |
|---|---------------|-----------|---------|-------|--|--|
| corporating of the relation of the second   | Director      | 10% Owner | Officer | Other |  |  |
| Riojas Rogelio<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 04/17/2014

\*\*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.

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.

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