

ROBERTS VIRGIL P  
Form 4/A  
June 18, 2018

**FORM 4** UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

OMB APPROVAL

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**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 \*  
ROBERTS VIRGIL P

2. Issuer Name and Ticker or Trading Symbol  
BROADWAY FINANCIAL CORP  
[BYFC]

5. Relationship of Reporting Person(s) to Issuer  
  
(Check all applicable)

(Last) (First) (Middle)  
5055 WILSHIRE BOULEVARD,  
SUITE 500  
  
(Street)

3. Date of Earliest Transaction  
(Month/Day/Year)  
06/18/2018

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

LOS ANGELES, CA 90036

4. If Amendment, Date Original Filed(Month/Day/Year)  
01/21/2009

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

(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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
|                                 |                                      |  |                                | (A) or (D) Code V Amount (D) Price                                |   |  |                                   |
| Common Stock <sup>(1)</sup>     |                                      |  |                                |   | 5,806   | I  | Held jointly with spouse in trust |
| Common Stock <sup>(2)</sup>     |                                      |  |                                |   | 804 <sup>(6)</sup>  | D  |                                   |

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

SEC 1474 (9-02)

displays a currently valid OMB control number.

**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) |              |                            |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--------------|----------------------------|
|  |  |                                      |  |                                |   | Date Exercisable   | Expiration Date   | Title        | Amount or Number of Shares |
|  |  |                                      |  |                                |   | Code   | V   | (A)          | (D)                        |
| Stock option grant(right to buy) <sup>(3)</sup>  | \$ 4   |                                      |  |                                |   | 01/21/2009 <sup>(4)</sup>                                | 01/21/2009  | Common Stock | \$ 7,500                   |
| Stock option grant (right to buy) <sup>(5)</sup> | \$ 8.19  |                                      |  |                                |   | 09/19/2008   | 09/19/2012  | Common Stock | 1,784                      |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |         |          |
|---|---------------|-----------|---------|----------|
|   | Director      | 10% Owner | Officer | Other    |
| ROBERTS VIRGIL P<br>5055 WILSHIRE BOULEVARD, SUITE 500<br>LOS ANGELES, CA 90036 | X             |           |         | Chairman |

## Signatures

Alice Wong,  
Attorney-in-fact

06/18/2018

        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) These securities are held jointly with spouse in street name.

(2) These securities are held directly in the name of Virgil P. Roberts.

## Edgar Filing: ROBERTS VIRGIL P - Form 4/A

- (3) This is a stock option grant (right to buy) approved by the Board of Directors on January 21, 2009 for vesting upon granting.
- (4) This stock option grant will renew each year on January 21 until the Board of Directors discontinues the renewal.
- (5) These stock options (right to buy) were granted on September 19, 2008 at 1,784 shares to vest at 20% per year for the following 5 years.
- (6) Original filing overstated this amount by 3,113 shares, which excess amount was carried over in subsequent filings.

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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