Edgar Filing: MCCALLION ANNE - Form 4

MCCALLIOI Form 4												
March 12, 20	Л									PPROVAL		
	UNITED	UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549								3235-0287		
Check this if no longe subject to Section 16 Form 4 or Form 5	STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF								burden hou	Expires: January 31, 2005 Estimated average burden hours per response 0.5		
obligation may contin <i>See</i> Instruct 1(b).	$\frac{s}{nue.}$ Section 17(a)	a) of the		ility Hold	ing Com	pany	Act o	f 1935 or Sectio	on			
(Print or Type R	esponses)											
MCCALLION ANNE S			2. Issuer Name and Ticker or Trading Symbol PENNYMAC FINANCIAL SERVICES, INC. [PFSI]				g	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
(Last) C/O PENNY SERVICES, TOWNSGA	MAC FINANCI INC., 3043	fiddle) AL	3. Date of (Month/Da 03/09/20		Insaction			X Director X Officer (give below) Chief En		6 Owner er (specify fficer		
	(Street) 4. If Amer Filed(Mont				-			6. Individual or Joint/Group Filing(Check Applicable Line) _X_Form filed by One Reporting Person				
WESTLAKE	E VILLAGE, CA	91361						Form filed by M Person	More than One Ro	eporting		
(City)	(State)	(Zip)	Table	e I - Non-Do	erivative S	Securi	ties Ac	quired, Disposed o	f, or Beneficia	lly Owned		
1.Title of Security (Instr. 3)2. Transaction Date (Month/Day/Year)2A. Deemed Execution Date, in any (Month/Day/Year)		on Date, if	3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 8) (Instr. 3, 4 and 5) (A) or				5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)				
Class				Code V	Amount	(D)	Price	(Instr. 3 and 4)				
Class A Common Stock	03/09/2018			А	6,881 (1)	А	\$0	15,883 <u>(2)</u>	D			

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

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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. Transacti Code (Instr. 8)	5. Number orDerivativ Securities Acquired or Dispos (D) (Instr. 3, - and 5)	re s (A) sed of	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amoun Underlying Securiti (Instr. 3 and 4)	
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amor Numl Share
Nonstatutory Stock Option (Right to Buy)	\$ 24.4	03/09/2018		А	17,204 (3)		03/09/2019	03/08/2028	Class A Common Stock	17,
Cl A Units of Private Nat'l Mortgage Acceptance Company, LLC	<u>(4)</u>						<u>(4)</u>	<u>(4)</u>	Class A Common Stock	590
Nonstatutory Stock Option (Right to Buy)	\$ 21.03						06/13/2014	06/12/2023	Class A Common Stock	15, <u>(</u>
Nonstatutory Stock Option (Right to Buy)	\$ 17.26						02/26/2015	02/25/2024	Class A Common Stock	28, (
Nonstatutory Stock Option (Right to Buy)	\$ 17.52						03/03/2016	03/02/2025	Class A Common Stock	23, <u>(</u>
Nonstatutory Stock Option (Right to Buy)	\$ 11.28						03/07/2017	03/06/2026	Class A Common Stock	27, (1
Nonstatutory Stock Option (Right to Buy)	\$ 18.05						03/06/2018	03/05/2027	Class A Common Stock	22,

Reporting Owners

Reporting Owner Name / Address

Relationships

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	Director	10% Owner	Officer	Other
MCCALLION ANNE C/O PENNYMAC FINANCIAL SERVICES, INC. 3043 TOWNSGATE ROAD WESTLAKE VILLAGE, CA 91361	Х		Chief Enterprise Ops Officer	
Signatures				
/s/ Derek W. Stark, attorney-in-fact for Ms. McCallion	03/12/2	.018		
**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).

The Reporting Person was granted 6,881 restricted stock units in connection with her service as an officer of the Issuer. The restricted
 (1) stock units, which vest in three equal installments beginning on the first anniversary of the grant date, are to be settled in an equal number of shares of Class A Common Stock upon vesting.

- (2) The reported amount consists of 12,883 restricted stock units and 3,000 shares of Class A Common Stock. The restricted stock units are to be settled in an equal number of shares of Class A Common Stock upon vesting.
- (3) This nonstatutory stock option to purchase 17,204 shares of Class A Common Stock of the Issuer will vest as to one-third of the optioned shares on each of March 9, 2019, 2020 and 2021, subject to the Reporting Person's committed service through each date.
- Pursuant to the terms of an exchange agreement, Class A Units of Private National Mortgage Acceptance Company, LLC are(4) exchangeable for shares of Class A Common Stock of the Issuer on a one-for-one basis, subject to customary conversion rate adjustments.
- (5) This nonstatutory stock option to purchase 15,882 shares of Class A Common Stock of the Issuer will vest as to one-third of the optioned shares on each of June 13, 2014, 2015 and 2016, subject to the Reporting Person's continued service through each date.
- (6) This nonstatutory stock option to purchase 28,216 shares of Class A Common Stock of the Issuer will vest as to one-third of the optioned shares on each of February 26, 2015, 2016 and 2017, subject to the Reporting Person's continued service through each date.
- (7) This nonstatutory stock option to purchase 23,829 shares of Class A Common Stock of the Issuer will vest as to one-third of the optioned shares on each of March 3, 2016, 2017 and 2018, subject to the Reporting Person's committed service through each date.
- (8) This nonstatutory stock option to purchase 27,771 shares of Class A Common Stock of the Issuer will vest as to one-third of the optioned shares on each of March 7, 2017, 2018 and 2019, subject to the Reporting Person's committed service through each date.
- (9) This nonstatutory stock option to purchase 22,506 shares of Class A Common Stock of the Issuer will vest as to one-third of the optioned shares on each of March 6, 2018, 2019 and 2020, subject to the Reporting Person's committed service through each 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.