

BROADWAY FINANCIAL CORP \DE\
Form 5
January 21, 2014

FORM 5

**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).
Form 3 Holdings Reported Form 4 Transactions Reported

ANNUAL 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

1. Name and Address of Reporting Person *
MADDOX ALBERT O

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

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

(Last) (First) (Middle)

3. Statement for Issuer's Fiscal Year Ended (Month/Day/Year)
12/31/2013

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

5055 WILSHIRE BOULEVARD,
SUITE 500

(Street)

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

6. Individual or Joint/Group Reporting

(check applicable line)

LOS ANGELES, CA 90036

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 at end of Issuer's Fiscal Year (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership (Instr. 4)
				(A) Amount or (D) Price			
Common Stock ⁽¹⁾	Â	Â	Â	Â Â Â	15,894	D	Â
Common Stock ⁽³⁾	Â	Â	Â	Â Â Â	19,231	D	Â

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. 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)	Amount or Number of Shares
Stock Option (Right to Buy)	\$ 6	Â	Â	Â	Â Â	Date Exercisable: 01/21/2010 ⁽²⁾ Expiration Date: 01/21/2020	Common Stock	1,250
Stock Option (Right to Buy)	\$ 4	Â	Â	Â	Â Â	Date Exercisable: 01/21/2009 ⁽²⁾ Expiration Date: 01/21/2019	Common Stock	1,875

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
MADDOX ALBERT O 5055 WILSHIRE BOULEVARD, SUITE 500 LOS ANGELES, CA 90036	Â X	Â	Â	Â

Signatures

Daniele C. Johnson,
Attorney-as-in-fact

01/21/2014

__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) These shares are held in the name of "Albert O. Maddox and Dorothy Deloise Maddox as Trustees U/D/T dated February 19, 1991."
- (2) This is a Stock Option Grant (Right to Buy) approved by the Board of Directors on January 21, 2009 and January 21, 2010. Fully vested upon granting.
- (3) On July 2, 2012, an investment of Capital was made in exchange for common stock. These shares are held in the name of "Albert O. Maddox and Dorothy Deloise Maddox as Trustees U/D/T dated February 19, 1991."

Note: File three copies of this Form, one of which must be manually signed. If space provided is insufficient, see Instruction 6 for procedure.

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