

Sexton Heidi  
Form 4  
January 09, 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 \*  
Sexton Heidi

2. Issuer Name and Ticker or Trading Symbol  
Sound Financial Bancorp, Inc.  
[SFBC]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction  
(Month/Day/Year)  
01/09/2019

\_\_\_\_ Director  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
Executive Vice President/COO

C/O SOUND FINANCIAL  
BANCORP, INC., 2400 3RD  
AVENUE, SUITE 150

(Street)

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

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

SEATTLE, WA 98121

(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)  | Price   |  |                                   |
|                                 |                                      |  |                                | Code  | V   | Amount   |                                   |
| Common Stock                    | 01/09/2019                           |  | M                              | A   | \$ 271  | 2,562  | D                                 |
| Common Stock                    | 01/09/2019                           |  | M                              | A   | \$ 271  | 2,833  | D                                 |
| Common Stock                    |                                      |  |                                |   |   | 5,431  | I Held by ESOP                    |
| Common Stock                    |                                      |  |                                |   |   | 2,264  | I Held by 401(k) Plan             |

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

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(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 Securities (Instr. 3 and 4) | 8. Price or Value of Underlying Securities (Instr. 3 and 4) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|---|
| Stock Option (Right to Buy)                | \$ 35.27   |                                      |  |                                |   | (1) 11/19/2028   | Common Stock 1,400  |   |
| Stock Option (Right to Buy)                | \$ 9.72  | 01/09/2019                           |  | M                              | 271   | (2) 01/27/2019   | Common Stock 271  | \$  |
| Stock Option (Right to Buy)                | \$ 8.41  | 01/09/2019                           |  | M                              | 271   | (2) 01/27/2019   | Common Stock 271  | \$  |
| Stock Option (Right to Buy)                | \$ 8.49  |                                      |  |                                |   | (2) 02/28/2022   | Common Stock 4,414  |   |
| Stock Option (Right to Buy)                | \$ 22.31   |                                      |  |                                |   | (3) 01/29/2026   | Common Stock 1,500  |   |
| Stock Option (Right to Buy)                | \$ 28.34   |                                      |  |                                |   | (4) 01/27/2027   | Common Stock 3,000  |   |

## Reporting Owners

| Reporting Owner Name / Address   | Relationships |           |                              |       |
|--|---------------|-----------|------------------------------|-------|
|  | Director      | 10% Owner | Officer                      | Other |
| Sexton Heidi<br>C/O SOUND FINANCIAL BANCORP, INC.<br>2400 3RD AVENUE, SUITE 150<br>SEATTLE, WA 98121 |               |           | Executive Vice President/COO |       |

## Signatures

/s/Laura Lee Stewart,  
Attorney-in-Fact

02/09/2019

\_\_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) Vests in five equal annual installments commencing on November 19, 2019.
  - (2) Exercisable currently at any time.
  - (3) Vests in five equal annual installments beginning on January 29, 2017.
  - (4) Vests in three equal annual installments beginning on January 27, 2017.

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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