

RHO JOSEPH K
Form 4
April 18, 2019

FORM 4

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

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

OMB APPROVAL

OMB
Number: 3235-0287
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person *
RHO JOSEPH K

2. Issuer Name **and** Ticker or Trading
Symbol
HANMI FINANCIAL CORP
[HAFC]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)
3660 WILSHIRE BLVD., PH-A
(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
04/16/2019

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

LOS ANGELES, CA 90010

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

(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 Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price		
Common Stock	04/16/2019		S		100	D	\$ 22.55	301,139	D
Common Stock	04/16/2019		S		500	D	\$ 22.54	300,639	D
Common Stock	04/16/2019		S		5,200	D	\$ 22.535	295,439	D
Common Stock	04/16/2019		S		1,108	D	\$ 22.53	294,331	D
Common Stock	04/16/2019		S		921	D	\$ 22.52	293,410	D

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Common Stock	04/16/2019	S	400	D	\$ 22.515	293,010	D
Common Stock	04/16/2019	S	700	D	\$ 22.51	292,310	D
Common Stock	04/16/2019	S	200	D	\$ 22.505	292,110	D
Common Stock	04/16/2019	S	752	D	\$ 22.5	291,358	D
Common Stock	04/16/2019	S	400	D	\$ 22.495	290,958	D
Common Stock	04/16/2019	S	900	D	\$ 22.49	290,058	D
Common Stock	04/16/2019	S	1,000	D	\$ 22.48	289,058	D
Common Stock	04/16/2019	S	100	D	\$ 22.4775	288,958	D
Common Stock	04/16/2019	S	400	D	\$ 22.475	288,558	D
Common Stock	04/16/2019	S	2,600	D	\$ 22.47	285,958	D
Common Stock	04/16/2019	S	200	D	\$ 22.4675	285,758	D
Common Stock	04/16/2019	S	1,319	D	\$ 22.46	284,439	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 displays a currently valid OMB control number.

SEC 1474
(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 of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Reportable Transaction (Instr. 6)
				Code	V (A) (D)		Title		

Date Exercisable	Expiration Date	Amount or Number of Shares
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Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
RHO JOSEPH K 3660 WILSHIRE BLVD., PH-A LOS ANGELES, CA 90010			X	

Signatures

/s/ Joseph Rho 04/18/2019

Signature of Date
Reporting Person

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).

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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