

Szot Matthew K  
Form 4  
January 03, 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**

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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Szot Matthew K

(Last) (First) (Middle)

C/O S&W SEED COMPANY, 106  
K STREET, SUITE 300

(Street)

SACRAMENTO, CA 95814

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading  
Symbol  
S&W Seed Co [SANW]

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

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

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

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

EVP Finance & Admin and CFO

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

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

| 1. Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3. Transaction<br>Code<br>(Instr. 8) | 4. Securities Acquired<br>or Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|---------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------|-------------------------------------------------------------------|
| Common<br>Stock                       | 01/01/2019                              |                                                             | M <sup>(1)</sup>                     | 684 A \$ 0                                                          | 75,399                                                                                                             | D                                                                    |                                                                   |
| Common<br>Stock                       | 01/01/2019                              |                                                             | M <sup>(1)</sup>                     | 1,005 A \$ 0                                                        | 76,404                                                                                                             | D                                                                    |                                                                   |
| Common<br>Stock                       | 01/01/2019                              |                                                             | M <sup>(1)</sup>                     | 1,039 A \$ 0                                                        | 77,443                                                                                                             | D                                                                    |                                                                   |
| Common<br>Stock                       | 01/01/2019                              |                                                             | F <sup>(2)</sup>                     | 1,116 D \$ 1.81                                                     | 76,327                                                                                                             | D                                                                    |                                                                   |
| Common<br>Stock                       | 01/02/2019                              |                                                             | S <sup>(3)</sup>                     | 1,100 D \$<br>(4) 1.8356                                            | 75,227                                                                                                             | D                                                                    |                                                                   |

# Edgar Filing: Szot Matthew K - Form 4

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) | Amount or Number of Shares |
|--------------------------------------------|--------------------------------------------------------|--------------------------------------|----------------------------------------------------|--------------------------------|-----------------------------------------------------------------------------------------|----------------------------------------------------------|---------------------------------------------------------------|----------------------------|
| Restricted Stock Units                     | (5)                                                    | 01/01/2019                           |                                                    | M                              | 684                                                                                     | 01/01/2019(6) 10/01/2019                                 | Common Stock                                                  | 684                        |
| Restricted Stock Units                     | (5)                                                    | 01/01/2019                           |                                                    | M                              | 1,005                                                                                   | 01/01/2019(7) 07/01/2020                                 | Common Stock                                                  | 1,005                      |
| Restricted Stock Units                     | (5)                                                    | 01/01/2019                           |                                                    | M                              | 1,039                                                                                   | 01/01/2019(8) 07/01/2021                                 | Common Stock                                                  | 1,039                      |

## Reporting Owners

| Reporting Owner Name / Address                                                            | Relationships                    |
|-------------------------------------------------------------------------------------------|----------------------------------|
|                                                                                           | Director 10% Owner Officer Other |
| Szot Matthew K<br>C/O S&W SEED COMPANY<br>106 K STREET, SUITE 300<br>SACRAMENTO, CA 95814 | EVP Finance & Admin and CFO      |

## Signatures

/s/ Matthew K. Szot 01/03/2019

\*\*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) Represents the settlement of restricted stock units ("RSUs") that vested on January 1, 2019 through the issuance of shares of common stock.

The reporting person is reporting the withholding by the Issuer of an aggregate of 1,116 shares of common stock that vested on January 1,

- (2) 2019 pursuant to three RSU awards referred in Table II, but that were not issued in order to satisfy the reporting person's tax withholding obligations in connection with the settlement of such RSU awards.

- (3) The sales reported on this Form 4 were made pursuant to a Rule 10b5-1 trading plan adopted by the Reporting Person.

This transaction was executed in multiple trades at prices ranging from \$1.83 to \$1.92. The price reported in Table I reflects the weighted average sales price. The reporting person hereby undertakes to provide upon request of the Securities and Exchange Commission staff,

- (4) the Issuer or a security holder of the Issuer, full information regarding the number of shares sold at each separate price for all sales reported on this Form 4.

- (5) Each RSU is the economic equivalent of one share of S&W Seed Company common stock. The closing price of SANW on December 31, 2018, the last trading day before the January 1 2019 vesting date, which fell on a federal holiday, was \$1.81.

On October 5, 2016, the reporting person was granted 8,210 RSUs, of which 684 vested on January 1, 2019. The remaining unvested

- (6) RSUs will continue to vest in equal installments on the first day of each quarter through and including October 1, 2019, subject to the reporting person's continued service with the Issuer on each respective vesting date.

On September 18, 2017, the reporting person was granted 12,066 RSUs, of which 1,005 vested on January 1, 2019. The remaining

- (7) unvested RSUs will continue to vest in equal installments on the first day of each quarter through and including July 1, 2020, subject to the reporting person's continued service with the Issuer on each respective vesting date.

On August 31, 2018, the reporting person was granted 12,439 RSUs, of which 1,039 vested on January 1, 2019. The remaining unvested

- (8) RSUs will continue to vest in equal installments the first day of each quarter through and including July 1, 2021, subject to the reporting person's continued service with the Issuer on each respective vesting date.

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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