

Edmonds-Waters Christopher
Form 4
November 17, 2017

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 *
Edmonds-Waters Christopher

(Last) (First) (Middle)

3005 TASMAN DRIVE

(Street)

SANTA CLARA, CA 95054

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol

SVB FINANCIAL GROUP [SIVB]

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

11/15/2017

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

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

Head of Human Resources

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 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)
Common Stock	06/30/2017		A	V 35 ⁽¹⁾	A \$ 146.302 5,918	D	
Common Stock	11/15/2017		M	1,475	A \$ 71.11 7,393	D	
Common Stock	11/15/2017		M	1,181	A \$ 129.81 8,574	D	
Common Stock	11/15/2017		M	974	A \$ 107.98 9,548	D	
Common Stock	11/15/2017		S	943	D \$ 209.4144 8,605	D	

⁽²⁾

Edgar Filing: Edmonds-Waters Christopher - Form 4

Common Stock 11/15/2017 S 2,687 D \$ 210.0189 5,918 D (3)

Common Stock 2,816 (4) I By 401(k)/ESOP

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 (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. I
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title
Stock Option	\$ 129.81	11/15/2017		M	1,181	<u>(5)</u>	05/01/2022	Common Stock 1,181
Stock Option	\$ 107.98	11/15/2017		M	974	<u>(6)</u>	04/29/2021	Common Stock 974
Stock Option	\$ 71.11	11/15/2017		M	1,475	<u>(7)</u>	04/30/2020	Common Stock 1,475

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

Edmonds-Waters Christopher
3005 TASMAN DRIVE
SANTA CLARA, CA 95054

Head of Human Resources

Signatures

Denise West, Attorney-in-Fact for Christopher Edmonds-Waters

11/17/2017

 **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 were acquired under the Issuer's Employee Stock Purchase Plan in transactions that were exempt under both Rule 16b-3(d) and Rule 16b-3(c).
- (2) This transaction was executed in multiple trades at prices ranging from \$208.77 to \$209.74; the price reported above reflects the weighted average sale price.
- (3) This transaction was executed in multiple trades at prices ranging from \$209.84 to \$210.21; the price reported above reflects the weighted average sale price.
- (4) The information in this report is based on 401(k)/ESOP Plan statement dated as of September 30, 2017.
- (5) 25%/4yr beginning on 01-May-2016.
- (6) 25%/4yr beginning on 29-Apr-2015.
- (7) 25%/4yr beginning on 30-Apr-2014.

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.