

HANMI FINANCIAL CORP
 Form 3
 October 09, 2015

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL
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INITIAL STATEMENT OF 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 * | | 2. Date of Event Requiring Statement | 3. Issuer Name and Ticker or Trading Symbol | |
| Â Lim Jean | | (Month/Day/Year) | HANMI FINANCIAL CORP [HAFIC] | |
| (Last) | (First) | 10/09/2015 | | |
| 3660 WILSHIRE BLVD., PH-A | | | 4. Relationship of Reporting Person(s) to Issuer | |
| (Street) | | | (Check all applicable) | |
| LOS ANGELES, CA 90010 | | | <input type="checkbox"/> Director <input type="checkbox"/> 10% Owner <input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other (give title below) (specify below) Chief Risk Officer | |
| (City) | (State) | (Zip) | 5. If Amendment, Date Original Filed(Month/Day/Year) | |
| | | | 6. Individual or Joint/Group Filing(Check Applicable Line) | |
| | | | <input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> Form filed by More than One Reporting Person | |

Table I - Non-Derivative Securities Beneficially Owned

| 1. Title of Security (Instr. 4) | 2. Amount of Securities Beneficially Owned (Instr. 4) | 3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5) | 4. Nature of Indirect Beneficial Ownership (Instr. 5) |
|---------------------------------|---|--|---|
| Common Stock | 13,646 ⁽¹⁾ | D | Â |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. SEC 1473 (7-02)

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.

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of Derivative Security (Instr. 4) | 2. Date Exercisable and Expiration Date (Month/Day/Year) | 3. Title and Amount of Securities Underlying Derivative Security (Instr. 4) | 4. Conversion or Exercise Price of Derivative Security | 5. Ownership Form of Derivative Security: Direct (D) or Indirect | 6. Nature of Indirect Beneficial Ownership (Instr. 5) |
|--|--|---|--|--|---|
| | Date Exercisable | Expiration Date | Title | Amount or Number of | |

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| | | | | Shares | | (I) (Instr. 5) | |
|-------------------------|---------------------------|------------|-------------------------|--------|-----------|-------------------|---|
| Option for Common Stock | 08/07/2007 ⁽²⁾ | 08/07/2016 | Option for Common Stock | 1,875 | \$ 152.24 | D | Â |
| Option for Common Stock | 04/08/2010 ⁽³⁾ | 04/08/2019 | Option for Common Stock | 1,250 | \$ 10.8 | D | Â |
| Option for Common Stock | 12/12/2013 ⁽⁴⁾ | 12/12/2022 | Option for Common Stock | 5,500 | \$ 12.54 | D | Â |
| Option for Common Stock | 08/28/2014 ⁽⁵⁾ | 08/28/2023 | Option for Common Stock | 25,000 | \$ 16.43 | D | Â |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|----------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Lim Jean 3660 WILSHIRE BLVD., PH-A LOS ANGELES, CA 90010 | Â | Â | Â Chief Risk Officer | Â |

Signatures

/s/ Jean Lim 10/09/2015
 **Signature of Date
 Reporting Person

Explanation of Responses:

- * If the form is filed by more than one reporting person, see Instruction 5(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) Includes 3,334 common stock grants that are scheduled to vest on August 28, 2016.
- (2) The option vested 20% one year from the grant date of 8/7/2006, and the remaining fully vested at the end of each four-year period through 8/7/2011.
- (3) The option vested 20% one year from the grant date of 4/8/2009, and the remaining fully vested at the end of each four-year period through 4/8/2014.
- (4) The option vested 25% immediately on the grant date of 12/12/2012, and an additional 25% vested at the end of each two-year period through 12/12/2014. The remaining 25% will vest on 12/12/2015.
- (5) The option vested 33.3% one year from the grant date of 8/23/2013, and an additional 33.3% vested on 8/28/2015. The remaining 33.4% will vest on 8/28/2016.

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.