

HOPE BANCORP INC

Form 4

September 06, 2016

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
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(Print or Type Responses)

1. Name and Address of Reporting Person *
HA DAISY Y

(Last) (First) (Middle)

3200 WILSHIRE BLVD., SUITE
1400

(Street)

LOS ANGELES, CA 90010

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading
Symbol
HOPE BANCORP INC [HOPE]

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

09/01/2016

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)

6. Individual or Joint/Group Filing(Check
Applicable Line)

☒ 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	09/01/2016		A	2,500 A	\$ 0 (1) 444,169	D	

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

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information contained in this form are not
required to respond unless the form
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SEC 1474
(9-02)

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

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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 Underlying Security (Instr. 3 and 4)	Amount or Number of Shares
Restricted Stock Units	<u>(1)</u>	09/01/2016		A	5,000	<u>(1)</u>	Common stock	5,000
Non-qualified stock option (right to buy)	\$ 17.18	09/01/2016		A	20,000	<u>(2)</u>	Common stock	20,000

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
HA DAISY Y 3200 WILSHIRE BLVD. SUITE 1400 LOS ANGELES, CA 90010	X			

Signatures

/s/ by Lisa Pai as AIF for
Daisy Ha

09/06/2016

____ 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).

Total 7,500 restricted stock units were granted on September 1, 2016 pursuant to the BBCN Bancorp, Inc. 2016 Incentive Compensation

(1) Plan. Each restricted stock unit represents a contingent right to receive one share of HOPE Bancorp, Inc. common stock. 1/3 of the award vested immediately on the grant date, with the remaining 2/3 vesting in 2 equal annual installments thereafter.

(2) These options were granted on September 1, 2016 pursuant to the BBCN Bancorp, Inc. 2016 Incentive Compensation Plan. 1/3 of the options vested immediately on the grant date, with the remaining 2/3 vesting in two equal annual installments thereafter.

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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