Edgar Filing: PENNYMAC FINANCIAL SERVICES, INC. - Form 4

PENNYMA Form 4 June 17, 201	AC FINANCIAL S	SERVICE	ES, INC.								
FORM			GECU				NCE	COMMERION	T	PPROVAL	
UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549							OMB Number:	3235-0287			
Check th if no lon	nger								Expires:	January 31, 2005	
subject to STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF						Estimated					
	Section 16. SECURITIES Form 4 or					burden hou response	•				
Form 5	Filed put	rsuant to S	Section 1	16(a) of th	e Securi	ties E	Exchar	nge Act of 1934,	response	. 0.5	
obligation may con				•	•	· ·	•	of 1935 or Sectio	n		
<i>See</i> Instr 1(b).		30(h)	of the Iı	nvestment	Compar	ıy Ас	ct of 1	940			
(Print or Type	Responses)										
1. Name and Address of Reporting Person <u>*</u> Jones Doug			2. Issuer Name and Ticker or Trading Symbol PENNYMAC FINANCIAL				ng	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)			
			SERVI	CES, INC	C. [PFSI]			(Check	ek un upplieuoi	()	
	(First) (YMAC FINANC 5, INC., 6101 CO			of Earliest Tr Day/Year) 2013	ransaction			Director X Officer (give below) Chf Co			
	(Street)		4. If Am	endment, Da	ate Origina	ıl		6. Individual or J	oint/Group Fili	ng(Check	
			Filed(Month/Day/Year)					Applicable Line) _X_ Form filed by One Reporting Person			
MOORPAI	RK, CA 93021								One Reporting P More than One R		
(City)	(State)	(Zip)	Tab	ole I - Non-I	Derivative	Secur	ities A	cquired, Disposed o	f, or Beneficia	lly Owned	
1.Title of Security (Instr. 3)		. Transaction Date 2A. Deem Month/Day/Year) Execution any (Month/D		Date, if TransactionAcquired (A) o Code Disposed of (D		ies (A) or of (D) 4 and 5	r)	5. Amount of Securities I Beneficially (Owned (Following (Reported		7. Nature of Indirect	
						or	р.	Transaction(s) (Instr. 3 and 4)			
				Code V	Amount	(D)	Price				
Reminder: Re	port on a separate line	e for each cl	lass of sec	urities benef	ficially own	ned di	rectly o	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.

 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. Transactio Code (Instr. 8)	5. Number of orDerivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	vative Expiration Date rities (Month/Day/Year) iired (A) sposed of :. 3, 4,		7. Title and Amoun Underlying Securiti (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amor or Numl of Sh
Nonstatutory Stock Option (Right to Buy)	\$ 21.03	06/13/2013		А	15,882	06/13/2014	06/12/2023	Class A Common Stock	15,8 <u>(1</u>

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Reporting Owners

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
Jones Doug C/O PENNYMAC FINANCIAL SERVICES, INC. 6101 CONDOR DRIVE MOORPARK, CA 93021			Chf Corr Lending Officer			
Signatures						
/s/ Derek W. Stark, attorney-in-fact for Mr. Jones	06/17/2013					
<u>**</u> 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) This nonstatutory stock option to purchase 15,882 shares of Class A Common Stock of the Issuer will vest as to one-third of the optioned shares on each of June 13, 2014, 2015 and 2016, subject to the Reporting Person's continued service through each date.

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.