

RILEY BRYANT R
Form 4
December 11, 2018

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

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

(Print or Type Responses)

1. Name and Address of Reporting Person *
RILEY BRYANT R

2. Issuer Name and Ticker or Trading Symbol
B. Riley Financial, Inc. [RILY]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)
12/07/2018

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

Chairman and Co-CEO

C/O B. RILEY FINANCIAL, INC., 21255 BURBANK BLVD, SUITE 400

(Street)

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

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

WOODLAND HILLS, CA 91367

(City) (State) (Zip)

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 Ownership (Instr. 4)
Common Stock	12/07/2018		P	10,500 A	\$ 17.28 4,322,666 <u>(1)</u>	D	
Common Stock	12/07/2018		P	4,400 A	\$ 17.4 73,617	I	By B. Riley Financial, Inc. 401(k) Profit Sharing Plan FBO Bryant Riley ⁽²⁾
	12/10/2018		P	4,330 A	4,875	I	

Edgar Filing: RILEY BRYANT R - Form 4

Common Stock					\$ 17.1491				As custodian for UTMA account of S.R. <u>(3)</u> <u>(7)</u>
Common Stock	12/10/2018		P	4,330	A	\$ 17.1491	4,875	I	As custodian for UTMA account of C.R. <u>(4)</u> <u>(7)</u>
Common Stock	12/10/2018		P	4,330	A	\$ 17.1491	4,875	I	As custodian for UTMA account of A.R. <u>(5)</u> <u>(7)</u>
Common Stock	12/10/2018		P	4,330	A	\$ 17.1491	4,875	I	As custodian for UTMA account of E.R. <u>(6)</u> <u>(7)</u>
Common Stock							200,000	I	By the Robert Antin Children Irrevocable Trust <u>(8)</u>

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 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)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Reported Transaction (Instr. 6)		
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number

