Edgar Filing: PROVIDENT FINANCIAL HOLDINGS INC - Form 4

PROVIDENT FINANCIAL HOLDINGS INC

Form 4

November 14, 2014

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

OMB APPROVAL

OMB 3235-0287 Number:

January 31, Expires: 2005

0.5

Estimated average burden hours per

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

response...

Check this box if no longer subject to Section 16. Form 4 or

Form 5 obligations may continue.

See Instruction

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(b).

(Last)

(City)

1. Name and Address of Reporting Person * **BLUNDEN CRAIG G**

(First)

(Street)

(State)

2. Issuer Name and Ticker or Trading

SECURITIES

Symbol

PROVIDENT FINANCIAL

(Check all applicable)

5. Relationship of Reporting Person(s) to

HOLDINGS INC [PROV] 3. Date of Earliest Transaction

(Month/Day/Year) 11/13/2014

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

3756 CENTRAL AVENUE

(Middle)

(Zip)

4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check

Applicable Line) _X_ Form filed by One Reporting Person

Chairman and CEO

Filed(Month/Day/Year)

Form filed by More than One Reporting Person

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

Issuer

RIVERSIDE, CA 92506

1.Title of 2. Transaction Date 2A. Deemed 3. 4. Securities 5. Amount of 6. Ownership 7. Nature of Security (Month/Day/Year) Execution Date, if TransactionAcquired (A) or Securities Form: Direct Indirect (Instr. 3) Code Disposed of (D) Beneficially (D) or Beneficial (Instr. 3, 4 and 5) Indirect (I) Ownership (Month/Day/Year) (Instr. 8) Owned Following (Instr. 4) (Instr. 4)

> Reported (A) Transaction(s) (Instr. 3 and 4)

Code V Amount (D) Price

Common

Stock, Par 925 \$ 15 165,535 (1) (2) D 11/13/2014 Α Α

Value \$0.01

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)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)

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1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exerc	cisable and	7. Title	e and	8. Price of	9. Nu
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transacti	onNumber	Expiration D	ate	Amou	nt of	Derivative	Deriv
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Underl	ying	Security	Secui
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	e		Securit	ties	(Instr. 5)	Bene
	Derivative				Securities			(Instr.	3 and 4)		Own
	Security				Acquired						Follo
	Ĭ				(A) or						Repo
					Disposed						Trans
					of (D)						(Instr
					(Instr. 3,						Ì
					4, and 5)						
									Amount		
						Date	Expiration		or		
						Exercisable	Date		Number		
						2.1010154010	2410		of		
				Code V	(A) (D)				Shares		

Reporting Owners

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
BLUNDEN CRAIG G 3756 CENTRAL AVENUE RIVERSIDE, CA 92506	X		Chairman and CEO				

Signatures

/s/Craig G.
Blunden

**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).

Ownership of 165,535 shares includes the 30,000 share restricted stock award granted on September 30, 2014 from the 2010 Equity Incentive Plan with 15,000 shares vesting on September 30, 2016 and 15,000 shares vesting on September 30, 2018; the 12,000 shares of

- (1) restricted stock from the award granted on June 20, 2011 from the 2010 Equity Incentive Plan with the 12,000 shares vesting on June 20, 2015; and, indirect ownership of 29,057 shares in Mr. Blunden's 401(K) Plan, and 26,644 shares in Mr. Blunden's Employee Stock Ownership Plan account.
- (2) Excludes an unknown number of shares owned by Mr. Blunden's spouse for which Mr. Blunden disclaims beneficial ownership as a result of a legal separation between the parties.

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.

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