BankGuam Holding Co Form 4 March 14, 2017

## FORM 4

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

**OMB APPROVAL** 

Estimated average

burden hours per

3235-0287

January 31,

2005

0.5

OMB

Number:

Expires:

response...

5. Relationship of Reporting Person(s) to

Issuer

Check this box if no longer subject to Section 16. Form 4 or Form 5

obligations

may continue.

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

2. Issuer Name and Ticker or Trading

Symbol

See Instruction 1(b).

Stock

(Print or Type Responses)

1. Name and Address of Reporting Person \*

Leon Guerrero Lourdes Aflague

BankGuam Holding Co [BKGM] (Check all applicable) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) \_X\_\_ Director 10% Owner X\_ Officer (give title Other (specify 111 CHALAN SANTO PAPA 03/14/2017 below) below) President & Chair of the Board (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) \_X\_ Form filed by One Reporting Person Form filed by More than One Reporting HAGATNA, GU 96932 (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 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 Indirect (I) (Instr. 3, 4 and 5) Ownership (Month/Day/Year) (Instr. 8) Owned Following (Instr. 4) (Instr. 4) Reported (A) Transaction(s) or (Instr. 3 and 4) Code V Amount (D) Price Common 03/14/2017 P 194 Α \$11 78,348  $D^{(1)}$ Stock Common By Trust I 2,400 (2) Stock Common By Trust 800 Ι Stock Common 1,100 Trustee Stock Common 500 I Trustee

Preferred

Shares 250 D

Series A

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 required to respond unless the form displays a currently valid OMB control number.

(9-02)

9. Nu

Deriv

Secu

Bene Own Follo Repo Trans (Insti

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

1. Title of	2.	3. Transaction Date	3A. Deemed	4. 5. 6. Date Exe		6. Date Exerci	isable and	7. Titl	le and	8. Price of	9
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	TransactionNumber		Expiration Da	Date		int of	Derivative	]
Security	or Exercise		any	Code	of	(Month/Day/Y	(ear)	Under	rlying	Security	
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8) Derivative Securities		,		Securities		(Instr. 5)	]
	Derivative							(Instr.	3 and 4)		(
	Security				Acquired						]
	-				(A) or						]
					Disposed						-
					of (D)						(
				(Instr. 3,							
					4, and 5)						
									A		
									Amount		
						Date Expiration Exercisable Date	Expiration	1	or		
							Title	Number			
									of		
				Code V	/ (A) (D)				Shares		

#### **Reporting Owners**

Relationships Reporting Owner Name / Address

> Director 10% Owner Officer Other

Leon Guerrero Lourdes Aflague

111 CHALAN SANTO PAPA X President & Chair of the Board HAGATNA, GU 96932

## **Signatures**

/s/ Lorraine P Guzman, Attorney-in-fact for Lourdes A Leon 03/15/2017 Guerrero

> \*\*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).
- 83,148 shares are subject to a certain Voting Trust Agreement dated November 29, 2013 of which Ms. Lourdes Leon Guerrero is the Trustee
- (2) The securities are held in a trust for the benefit of Joaquin Philip Leon Guerrero Cook of which Lourdes Leon Guerrero is a trustee.

Reporting Owners 2

#### Edgar Filing: BankGuam Holding Co - Form 4

The securities are held in a trust for the benefit of Mariana Leon Guerrero Cook of which Lourdes Leon Guerrero is a trustee. Ms. Leon Guerrero disclaims beneficial ownership of the reported securities except to the extent of her pecuniary interest therein, and this report shall not be deemed an admission that she is a beneficial owner of such securities for the purpose of Section 16.

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.