#### Edgar Filing: COMMUNITY WEST BANCSHARES / - Form 3

#### COMMUNITY WEST BANCSHARES /

Form 3 April 03, 2017

### FORM 3

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

OMB APPROVAL

OMB Number:

3235-0104

Expires:

January 31, 2005

0.5

Estimated average burden hours per

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, response...
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 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement COMMUNITY WEST BANCSHARES / [CWBC] A Thompson Susan C (Month/Day/Year) 04/01/2017 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 445 PINE AVENUE (Check all applicable) (Street) 6. Individual or Joint/Group Filing(Check Applicable Line) 10% Owner Director \_X\_ Form filed by One Reporting \_X\_\_ Officer \_ Other Person GOLETA, CAÂ 93117 (give title below) (specify below) Form filed by More than One EVP, CFO Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 4. Nature of Indirect Beneficial 1. Title of Security 2. Amount of Securities Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) D Â Common Stock 12,000 Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) 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

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

currently valid OMB control number.

	1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)		3. Title and Amount of Securities Underlying Derivative Security		4. Conversion or Exercise	5. Ownership Form of	Ownership
				(Instr. 4)		Price of	Derivative	
			Expiration Date	Title	Amount or Number of	Derivative	Security:	
						Security	Direct (D)	
							or Indirect	

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				Shares		(I) (Instr. 5)	
Stock Options (1)	06/27/2014	03/28/2023	Common Stock	5,000	\$ 4.71	D	Â
Stock Option (1)	02/27/2015	02/27/2024	Common Stock	4,000	\$ 7.19	D	Â
Stock Options (1)	03/26/2016	03/26/2025	Common Stock	3,500	\$ 6.6996	D	Â
Stock Options (1)	03/24/2017	03/24/2026	Common Stock	3,500	\$ 6.86	D	Â

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
1 2	Director	10% Owner	Officer	Othe		
Thompson Susan C 445 PINE AVENUE	Â	Â	EVP, CFO	Â		
GOLETA Â CAÂ 93117						

# **Signatures**

/s/ Susan C.
Thompson

\*\*Signature of Reporting Person

Date

### **Explanation of Responses:**

- \* If the form is filed by more than one reporting person, see Instruction 5(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) Each stock option grant vests 1/5 per year from the date of grant. The date exercisable is the date of the first tranche vesting. 6,500 of these shares are exercisable.

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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