

ROBERTS VIRGIL P  
Form 4/A  
June 18, 2018

**FORM 4**

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

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

## OMB APPROVAL

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response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
ROBERTS VIRGIL P

2. Issuer Name **and** Ticker or Trading  
Symbol

BROADWAY FINANCIAL CORP  
\\DE\\ [BYFC]

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

(Last) (First) (Middle)

5055 WILSHIRE BOULEVARD,  
SUITE 500

(Street)

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

06/18/2018

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

4. If Amendment, Date Original  
Filed(Month/Day/Year)  
01/21/2009

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

LOS ANGELES, CA 90036

(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 Beneficial Ownership (Instr. 4)
				(A) or (D)			
			Code	V	Amount		
Common Stock <sup>(1)</sup>					5,806	I	Held jointly with spouse in trust
Common Stock <sup>(2)</sup>					804 <sup>(6)</sup>	D	

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  
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SEC 1474  
(9-02)

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)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title  Amount or Number of Shares
Stock option grant(right to buy) <sup>(3)</sup>	\$ 4					01/21/2009 <sup>(4)</sup> 01/21/2009	Common Stock \$ 7,500
Stock option grant (right to buy) <sup>(5)</sup>	\$ 8.19					09/19/2008 09/19/2012	Common Stock 1,784

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
ROBERTS VIRGIL P 5055 WILSHIRE BOULEVARD, SUITE 500 LOS ANGELES, CA 90036	X			Chairman

Alice Wong,  
Attorney-in-fact

Signature of Reporting Person \_\_\_\_\_ Date \_\_\_\_\_

- \* 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) These securities are held jointly with spouse in street name.
- (2) These securities are held directly in the name of Virgil P. Roberts.

## Edgar Filing: ROBERTS VIRGIL P - Form 4/A

- (3) This is a stock option grant (right to buy) approved by the Board of Directors on January 21, 2009 for vesting upon granting.
- (4) This stock option grant will renew each year on January 21 until the Board of Directors discontinues the renewal.
- (5) These stock options (right to buy) were granted on September 19, 2008 at 1,784 shares to vest at 20% per year for the following 5 years.
- (6) Original filing overstated this amount by 3,113 shares, which excess amount was carried over in subsequent filings.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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