SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

## INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL

OMB Number: 3235-0104 Estimated average burden hours per response: 0.5

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person <sup>*</sup> Chen Wendell			2. Date of Event Requiring Statement (Month/Day/Year) 07/25/2017		3. Issuer Name <b>and</b> Ticker or Trading Symbol <u>RBB Bancorp</u> [ RBB ]						
(Last) 660 S. FIGUI SUITE 1888	660 S. FIGUEROA STREET					ionship of Reporting Pers all applicable) Director Officer (give title	on(s) to Issuer 10% Owner Other (specify		<ul> <li>5. If Amendment, Date of Original Filed (Month/Day/Year)</li> <li>6. Individual or Joint/Group Filing (Check</li> </ul>		
(Street) LOS CA 90017 ANGELES						below)	below)		Applicable Line) X Form filed by One Reporting Person Form filed by More than One Reporting Person		
(City)	(State)	(Zip)									
Table I - Non-Derivative Securities Beneficially Owned											
1. Title of Security (Instr. 4)					2. Amount of Securities Beneficially Owned (Instr. 4)		3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)		4. Nature of Indirect Beneficial Ownership (Instr. 5)		
Common Stock, No Par Value						56,682	D				
Table II - Derivative Securities Beneficially Owned           (e.g., puts, calls, warrants, options, convertible securities)											
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 (Instr. 4)		4. Conve or Exe	rcise	5. Ownership Form:	6. Nature of Indirect Beneficial Ownership (Instr. 5)
			Date Exercisable	Expiration Date	n Title		Amount or Number of Shares	Price of Derivative Security		Direct (D) or Indirect (I) (Instr. 5)	
Option (right to buy)			(1)	05/18/2021	L	Common Stock	10,763	9.2915		D	
Option (right to buy)			(2)	05/16/2022	2	Common Stock	10,763	11.1498		D	
Option (right to buy)			(3)	05/15/2023	3	Common Stock	10,763	763 11.1498		D	
Option (right to buy)			(4)	05/21/2024	4	Common Stock	10,250	13.2098		D	
Option (right to buy)			(5)	05/20/2025	5	Common Stock	10,000	10,000 17.08		D	
Option (right to buy)			(6)	05/17/2026	5	Common Stock	10,000	18.	25	D	

Explanation of Responses:

1. These options vest in three equal annual installments beginning one year after the 05/18/2011 date of grant.

2. These options vest in three equal annual installments beginning one year after the 05/16/2012 date of grant.

3. These options vest in three equal annual installments beginning one year after the 05/15/2013 date of grant.

4. These options vest in three equal annual installments beginning one year after the 05/21/2014 date of grant.

5. These options vest in three equal annual installments beginning one year after the 05/20/2015 date of grant.

6. These options vest in three equal annual installments beginning one year after the 05/17/2016 date of grant.

## **Remarks:**

## Wendell Chen

\*\* Signature of Reporting Person

07/25/2017

Date

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

\* 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).

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

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 Number.