SEC Form 4

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FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

Check this hav if no longer subject to
Check this box if no longer subject to
Section 16. Form 4 or Form 5
obligations may continue. See
Instruction 1(b).

1. Name and Address of Reporting Person*

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities E or Section 30(h) of the Investment Compar

OMB APPROVAL OMB Number: 3235-0287 Estimated average burden

pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940		hours per response:	0.5	
2. Issuer Name and Ticker or Trading Symbol <u>RBB Bancorp</u> [RBB]	5. Relationship of F (Check all applicab X Director	Reporting Person(s) to Issuer le) 10% Owner		

Lin Ko-Yen			<u>RBB Bancorp</u> [RBB]		Director	10% Owner		
(Last) 660 S. FIGUER((First) OA STREET	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 10/15/2018		Officer (give title below)	Other (specify below)		
SUITE 1888			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line)	vidual or Joint/Group Filing (Check Applicable			
(Street)				X	Form filed by One Re	porting Person		
LOS ANGELES	CA	90017	_		Form filed by More th Person	an One Reporting		
(City)	(State)	(Zip)						

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

Table 1 - Non-Derivative Occurración Acquirea, Disposed ol, or Derichiciany Owned												
1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transa Code (8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)		
			Code	v	Amount	(A) or Drice		Transaction(s) (Instr. 3 and 4)		(IIISU. 4)		
Common Stock, No Par Value	10/15/2018	10/15/2018	М		10,763	A	\$9.2915	94,815	D			
Stock Options	03/06/2018	03/06/2018	М		10,763	D	\$9.2915	73,302	D			
Stock Options	10/15/2018	10/15/2018	М		10,763	D	\$9.2915	62,539	D			
Stock Options								62,539	D			

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

(e.g., puts, calls, warrants, options, convertible securities)															
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. Transa Code (8)	action (Instr.	of Deri Sec Acq (A) o Disp of (I	umber vative urities uired or oosed O) (Instr. and 5)	6. Date Exerc Expiration Da (Month/Day/Y	ate	7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)		10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Option (right to buy)	\$9.2915	10/15/2018	10/15/2018	М			10,763	(1)	01/02/2019	Common Stock	10,763	\$9.2915	0	D	
Option (right to buy)	\$9.2915							(2)	11/18/2018	Common Stock	0		0	D	
Option (right to buy)	\$9.2915							(3)	05/18/2021	Common Stock	10,763		10,763	D	
Option (right to buy)	\$11.1498							(4)	05/16/2022	Common Stock	10,763		10,763	D	
Option (right to buy)	\$11.1498							(5)	05/15/2023	Common Stock	10,763		10,763	D	
Option (right to buy)	\$13.2098							(6)	05/21/2024	Common Stock	10,250		10,250	D	
Option (right to buy)	\$17.08							(7)	05/20/2025	Common Stock	10,000		10,000	D	
Option (right to buy)	\$18.25							(8)	05/17/2026	Common Stock	10,000		10,000	D	

Explanation of Responses:

1. These options vest in three equal annual installments beginning one year after the 01/02/2009 date of grant.

2. These options vest in three equal annual installments beginning one year after the 11/18/2008 date of grant.

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

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

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

6. These options vest in three equal annual installments beginning one year after the 05/21/2014 date of grant. 7. These options vest in three equal annual installments beginning one year after the 05/20/2015 date of grant. $8. \ These \ options \ vest \ in \ three \ equal \ annual \ installments \ beginning \ one \ year \ after \ the \ 05/17/2016 \ date \ of \ grant.$

Remarks:

<u>Ko-Yen Lin</u>

<u>10/17/2018</u> Date

** Signature of Reporting Person

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 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).

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.