

SVB FINANCIAL GROUP
Form 4
November 05, 2015

FORM 4

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person *
Edmonds-Waters Christopher

(Last) (First) (Middle)

SVB FINANCIAL GROUP, 3005
TASMAN DRIVE

(Street)

SANTA CLARA, CA 95054

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol

SVB FINANCIAL GROUP [SIVB]

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

06/30/2015

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

___ Director ___ 10% Owner
X Officer (give title below) ___ Other (specify below)

Head of Human Resources

6. Individual or Joint/Group Filing(Check Applicable Line)

X Form filed by One Reporting Person
___ Form filed by More than One Reporting Person

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)
			Code	V	Amount or Price		
Common Stock	06/30/2015		A	V	40 ⁽¹⁾	A	\$ 97.861 4,654
Common Stock	11/03/2015		S		1,675	D	\$ 124.1744 2,979 ₍₂₎
Common Stock	11/03/2015		M		1,500	A	\$ 60.37 4,654
Common Stock	11/03/2015		M		1,575	A	\$ 64.37 3,154
Common Stock	11/03/2015		M		1,475	A	\$ 71.11 1,579

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Common Stock	11/03/2015	S	4,150	D	\$ 124.5277 (3)	104	D	
Common Stock	11/03/2015	S	400	D	\$ 123.8933 (4)	4,254	D	
Common Stock						2,607 (5)	I	By 401(k)/ESOP

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

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(9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
(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. 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)	8. Amount or Number of Shares	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option	\$ 60.37	11/03/2015		M	1,500	04/27/2012	04/27/2018	Common Stock	1,500
Stock Option	\$ 64.37	11/03/2015		M	1,575	05/01/2013	05/01/2019	Common Stock	1,575
Stock Option	\$ 71.11	11/03/2015		M	1,475	04/30/2014	04/30/2020	Common Stock	1,475

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Edmonds-Waters Christopher SVB FINANCIAL GROUP 3005 TASMAN DRIVE SANTA CLARA, CA 95054			Head of Human Resources	

Signatures

Denise West, Attorney-in-Fact for Christopher
Edmonds-Waters

11/05/2015

__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).
- (1) These shares were acquired under the Issuer's Employee Stock Purchase Plan in transactions that were exempt under both Rule 16b-3(d) and Rule 16b-3(c).
- (2) The 1,675 shares were sold through separate trades, with the sale prices ranging from \$123.58 to \$124.39 and at a weighted average sale price of \$124.1744.
- (3) The 4,150 shares were sold through separate trades, with the sale prices ranging from \$124.12 to \$125.08 and at a weighted average sale price of \$124.5277.
- (4) The 400 shares were sold through separate trades, with the sale prices ranging from \$123.57 to \$124.09 and at a weighted average sale price of \$123.8933.
- (5) The information in this report is based on 401(k)/ESOP Plan statement dated as of September 30, 2015.

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.