

Chamberlain Kittridge
Form 4
December 08, 2017

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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(Print or Type Responses)

1. Name and Address of Reporting Person *
Chamberlain Kittridge

2. Issuer Name **and** Ticker or Trading
Symbol
PACIFIC MERCANTILE
BANCORP [PMBC]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)
949 SOUTH COAST
DRIVE, THIRD FLOOR

3. Date of Earliest Transaction
(Month/Day/Year)
12/06/2017

____ Director ____ 10% Owner
____ Officer (give title below) ____ Other (specify below)
EVP Corporate Finance

(Street)
COSTA MESA, CA 92626

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

6. Individual or Joint/Group Filing(Check
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 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 | (A) or (D) | Price | | |
| Common Stock | 12/08/2017 | | M | | 1,396 | A | \$ 6.24 | 18,362 | D |
| Common Stock | 12/08/2017 | | M | | 2,005 | A | \$ 6.18 | 20,367 | D |
| Common Stock | 12/08/2017 | | S | | 946 | D | \$ 9.1426 | 19,421 | D |
| Common Stock | 12/08/2017 | | S | | 1,345 | D | \$ 9.1426 | 18,076 | D |
| Common Stock | 12/06/2017 | | M | | 3,401 | A | \$ 6.24 | 18,397 | D |

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| | | | | | | | |
|--------------|------------|---|-------|---|-------------------------|--------|---|
| Common Stock | 12/06/2017 | S | 2,254 | D | \$ 9.7 | 16,143 | D |
| Common Stock | 12/07/2017 | M | 3,401 | A | \$ 7.1 | 19,544 | D |
| Common Stock | 12/07/2017 | S | 2,578 | D | \$ <u>(1)</u> 9,5806 | 16,966 | D |

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 |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|-------------------------------|
| Common Stock Option | \$ 6.24 | 12/08/2017 | | M | 1,396 | <u>(2)</u> 09/03/2023 | Common Stock | 1,396 |
| Common Stock Option | \$ 6.18 | 12/08/2017 | | M | 2,005 | <u>(3)</u> 03/07/2024 | Common Stock | 2,005 |
| Common Stock Option | \$ 6.24 | 12/06/2017 | | M | 3,401 | <u>(2)</u> 09/03/2023 | Common Stock | 3,401 |
| Common Stock Option | \$ 7.1 | 12/07/2017 | | M | 3,401 | <u>(4)</u> 02/17/2025 | Common Stock | 3,401 |

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

Reporting Owners

Chamberlain Kittridge
949 SOUTH COAST DRIVE
THIRD FLOOR
COSTA MESA, CA 92626

EVP Corporate Finance

Signatures

/s/ Nancy Gray, attorney in fact for KITTRIDGE M
CHAMBERLAIN

12/08/2017

__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) This transaction was executed in multiple trades at prices ranging from \$9.55 USD to \$9.65 USD; the price reported above reflects the weighted average sale price.
- (2) 3 Years Annually beginning on 03-Sep-2013
- (3) 5 Years Annually beginning on 07-Mar-2014
- (4) 3 Years Annually beginning on 17-Feb-2015

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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