

HomeStreet, Inc.
Form 4
October 08, 2014

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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

(Print or Type Responses)

1. Name and Address of Reporting Person *
WILLIAMS BRUCE W

(Last) (First) (Middle)

601 UNION STREET, SUITE 2000

(Street)

SEATTLE, WA 98101

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
HomeStreet, Inc. [HMST]

3. Date of Earliest Transaction (Month/Day/Year)
10/08/2014

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

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

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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| Common Stock | 10/08/2014 | | A | 280 ⁽¹⁾ | \$ 199,765.8 ₍₂₎ | D | |
| Common Stock | | | | | 19,252.644 | I | HomeStreet, Inc. 401(k) Savings Plan ⁽³⁾ |
| Common Stock | | | | | 28,128 | I | Marina S. Williams Trust ⁽⁴⁾ |
| Common Stock | | | | | 2,188.4 | I | Marina S. Williams Trust ⁽⁵⁾ |
| Common Stock | | | | | 135,000 | I | Marina S. Williams Trust |

Edgar Filing: HomeStreet, Inc. - Form 4

| Common Stock | | | | UA ⁽⁶⁾ |
|--------------|-----------|---|--|---|
| Common Stock | 150,076.8 | I | | Estate of Walter B. Williams ⁽⁷⁾ |
| Common Stock | 150,073.6 | I | | Estate of Marie W. Williams ⁽⁸⁾ |
| Common Stock | 55,281.6 | I | | Karen M. Zimmerman Trust ⁽⁹⁾ |
| Common Stock | 55,281.6 | I | | Steven W. Zimmerman Trust ⁽¹⁰⁾ |
| Common Stock | 750.4 | I | | Andrew Alvaro Mullins-Williams 2005 Trust ⁽¹¹⁾ |
| Common Stock | 1.2 | I | | William B. Williams Interim Trust ⁽¹²⁾ |
| Common Stock | 0.4 | I | | Gro A. Buer ⁽¹³⁾ |

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 required to respond unless the form displays a currently valid OMB control number.

SEC 1474
(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. Price of Derivative Security (Instr. 5) | 9. Nu... Deriv... Secur... Bene... Own... Follo... Repo... Trans... (Instr... |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| WILLIAMS BRUCE W 601 UNION STREET, SUITE 2000 SEATTLE, WA 98101 | | X | | |

Signatures

/s/ Godfrey B. Evans, attorney in fact for Bruce W. Williams
10/08/2014

__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) Stock issued based on Directors' compensation policy paid quarterly.
- (2) 31,547.2 shares held jointly with Gro A. Buer, Mr. Williams's spouse.
- (3) Participants in HomeStreet, Inc.'s 401(k) Savings Plan have the authority to direct voting of shares they hold through such plan.
- (4) Mr. Williams is the co-trustee with Gro A. Buer for the Marina S. Williams Trust dated 12/25/95. Mr. Williams disclaims beneficial ownership of these shares except to the extent of any pecuniary interest he may have therein.
- (5) Mr. Williams is the sole trustee for the Marina S. Williams Trust dated 12/23/03. Mr. Williams disclaims beneficial ownership of these shares except to the extent of any pecuniary interest he may have therein.
- (6) Mr. Williams is the sole trustee for the Marina S. Williams Trust UA dated 6/27/13. Mr. Williams disclaims beneficial ownership of these shares except to the extent of any pecuniary interest he may have therein.
- (7) Mr. Williams is the executor of the estate of Walter B. Williams. Mr. Williams disclaims beneficial ownership of these shares except to the extent of any pecuniary interest he may have therein.
- (8) Mr. Williams is the executor of the estate of Marie W. Williams. Mr. Williams disclaims beneficial ownership of these shares except to the extent of any pecuniary interest he may have therein.
- (9) Mr. Williams is the sole trustee of the Karen M. Zimmerman Trust dated 12/22/2000. Mr. Williams disclaims beneficial ownership of these shares except to the extent of any pecuniary interest he may have therein.
- (10) Mr. Williams is the sole trustee of the Steven W. Zimmerman Trust dated 12/22/2000. Mr. Williams disclaims beneficial ownership of these shares except to the extent of any pecuniary interest he may have therein.
- (11) Mr. Williams is the sole trustee for the Andrew Alvaro Mullins-Williams Trust dated 11/29/2005. Mr. Williams disclaims beneficial ownership of these shares except to the extent of any pecuniary interest he may have therein.
- (12) Mr. Williams is the sole trustee of the Walter B. Williams Interim Trust. Mr. Williams disclaims beneficial ownership of these shares except to the extent of any pecuniary interest he may have therein.
- (13) Held individually by Gro A. Buer, Mr. Williams's spouse. Mr. Williams disclaims beneficial ownership of these shares except to the extent of any pecuniary interest he may have therein.

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.