Anderson Robert S. Form 4 February 21, 2019

## FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB APPROVAL** OMB

Number:

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0.5

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subject to Section 16. Form 4 or Form 5 obligations

may continue.

See Instruction

Check this box

if no longer

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* Anderson Robert S.

2. Issuer Name and Ticker or Trading

Symbol

PACIFIC MERCANTILE BANCORP [PMBC]

3. Date of Earliest Transaction

(Month/Day/Year)

5. Relationship of Reporting Person(s) to

Issuer

(Check all applicable)

EVP & Chief Banking Officer

(Last)

(City)

949 SOUTH COAST

DRIVE, THIRD FLOOR

(First)

(State)

(Middle)

(Zip)

02/20/2019

Director 10% Owner Other (specify

Officer (give title below) below)

(Street) 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

COSTA MESA, CA 92626

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1. Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if (Instr. 3) (Month/Day/Year)

3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 3, 4 and 5) (Instr. 8)

Reported

\$0

5. Amount of Securities Beneficially Owned Following

6. Ownership 7. Nature of Form: Direct (D) or Indirect (I) (Instr. 4)

D

I

Indirect Beneficial Ownership (Instr. 4)

(A) or

Transaction(s) (Instr. 3 and 4)

Code V Amount (D) Price

Common 02/20/2019 Stock

A 8,165 A

100,345

3,100

**Spouse** 

Common Stock

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

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SEC 1474 (9-02)

#### Edgar Filing: Anderson Robert S. - Form 4

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

| 1. Title of | 2.          | 3. Transaction Date |                    | 4.                    | 5.                      | 6. Date Exerc                    |            | 7. Title |          | 8. Price of | 9. Nu  |
|-------------|-------------|---------------------|--------------------|-----------------------|-------------------------|----------------------------------|------------|----------|----------|-------------|--------|
| Derivative  | Conversion  | (Month/Day/Year)    | Execution Date, if | TransactionNumber     |                         | Expiration D                     | ate Amou   |          | nt of    | Derivative  | Deriv  |
| Security    | or Exercise |                     | any                | Code                  | of                      | (Month/Day/                      | Year)      | Under    | lying    | Security    | Secur  |
| (Instr. 3)  | Price of    |                     | (Month/Day/Year)   | (Instr. 8) Derivative |                         | e                                |            | Securi   | ties     | (Instr. 5)  | Bene   |
|             | Derivative  |                     |                    |                       | Securities              |                                  |            | (Instr.  | 3 and 4) |             | Own    |
|             | Security    |                     |                    |                       | Acquired                |                                  |            |          |          |             | Follo  |
|             |             |                     |                    |                       | (A) or                  |                                  |            |          |          |             | Repo   |
|             |             |                     |                    |                       | Disposed                |                                  |            |          |          |             | Trans  |
|             |             |                     |                    |                       | of (D)                  |                                  |            |          |          |             | (Instr |
|             |             |                     |                    |                       | (Instr. 3,<br>4, and 5) |                                  |            |          |          |             |        |
|             |             |                     |                    |                       |                         |                                  |            |          |          |             |        |
|             |             |                     |                    |                       |                         |                                  |            |          |          |             |        |
|             |             |                     |                    |                       |                         |                                  |            |          | Amount   |             |        |
|             |             |                     |                    |                       |                         | Date Expiration Exercisable Date | Expiration | Title    | or       |             |        |
|             |             |                     |                    |                       |                         |                                  | *          |          | Number   |             |        |
|             |             |                     |                    |                       |                         |                                  | Date       |          | of       |             |        |
|             |             |                     |                    | Code V                | (A) (D)                 |                                  |            |          | Shares   |             |        |

## **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Anderson Robert S. 949 SOUTH COAST DRIVE THIRD FLOOR COSTA MESA, CA 92626

**EVP & Chief Banking Officer** 

## **Signatures**

/s/ Nancy Gray, attorney in fact for ROBERT ANDERSON

02/21/2019

\*\*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).

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.

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