### Edgar Filing: PENNYMAC FINANCIAL SERVICES, INC. - Form 3

PENNYMAC FINANCIAL SERVICES, INC.

Form 3

November 21, 2013

# FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

**SECURITIES** 

(Print or Type Responses)

1. Name and Address of Reporting 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement PENNYMAC FINANCIAL SERVICES, INC. [PFSI] A Perotti Daniel Stanley (Month/Day/Year) 11/14/2013 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) C/O PENNYMAC FINANCIAL (Check all applicable) SERVICES, INC., Â 6101 CONDOR DRIVE 10% Owner Director \_X\_\_ Officer (Street) Other 6. Individual or Joint/Group (give title below) (specify below) Filing(Check Applicable Line) Chief Asset & Liability Mgt Of \_X\_ Form filed by One Reporting Person MOORPARK. CAÂ 93021 Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 1. Title of Security 2. Amount of Securities 3. 4. Nature of Indirect Beneficial Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) Â Class A Common Stock 1.261 (1) D Â Class B Common Stock D Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) 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.

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

1. Title of Derivative Security 2. Date Exercisable and 3. Title and Amount of 4. 6. Nature of Indirect (Instr. 4) **Expiration Date** Securities Underlying Beneficial Conversion Ownership (Month/Day/Year) Derivative Security Ownership or Exercise Form of

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	Date Exercisable	Expiration Date	(Instr. 4) Title	Amount or Number of Shares	Price of Derivative Security	Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	(Instr. 5)
Nonstatutory Stock Option (Right to Buy)	06/13/2014	06/12/2023	Class A Common Stock	2,523 (2)	\$ 21.03	D	Â
Cl A Units of Private Nat'l Mortgage Acceptance Company, LLC	(3)	(3)	Class A Common Stock	336,506	\$ <u>(3)</u>	D	Â

### **Reporting Owners**

Reporting Owner Name / Address		Relationships					
	Director	10% Owner	Officer	Other			
Perotti Daniel Stanley C/O PENNYMAC FINANCIAL SERVICES, INC. 6101 CONDOR DRIVE MOORPARK, CA 93021	Â	Â	Chief Asset & Liability Mgt Of	Â			

# **Signatures**

/s/ Derek W. Stark, attorney-in-fact for Mr.
Perotti 11/21/2013

\*\*Signature of Reporting Person Date

## **Explanation of Responses:**

- \* If the form is filed by more than one reporting person, see Instruction 5(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).
- The reported amount consists of 1,261 restricted stock units (RSUs), which were granted to the Reporting Person on June 13, 2013. The (1) RSUs will vest as to one-third of the RSUs on each of the first, second and third anniversaries of the grant date, subject to the Reporting Person's continued service through each date.
- This nonstatutory stock option to purchase 2,523 shares of Class A Common Stock of the Issuer will vest as to one-third of the optioned shares on each of the first, second and third anniversaries of the grant date, subject to the Reporting Person's continued service through each date.
- Pursuant to the terms of an exchange agreement, Class A Units of Private National Mortgage Acceptance Company, LLC are exchangeable for shares of Class A Common Stock of the Issuer on a one-for-one basis, subject to customary conversion rate adjustments.

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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