

MCCALLION ANNE  
Form 4  
January 19, 2018

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2005  
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 \*  
MCCALLION ANNE

2. Issuer Name and Ticker or Trading Symbol  
PENNYMAC FINANCIAL SERVICES, INC. [PFSI]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)  
01/17/2018

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
Chief Enterprise Ops Officer

C/O PENNYMAC FINANCIAL SERVICES, INC., 3043 TOWNSGATE ROAD  
(Street)

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

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
\_\_\_\_ Form filed by More than One Reporting Person

WESTLAKE VILLAGE, CA 91361

(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)
Class A Common Stock	01/17/2018		M	5,000 <sup>(1)</sup>	A \$ 0 <sup>(2)</sup> 5,000	I	The McCallion Family Trust dated 12/21/98
Class A Common Stock	01/17/2018		S	5,000 <sup>(3)</sup>	D \$ 23 <sup>(4)</sup> 0	I	The McCallion Family Trust dated 12/21/98

Edgar Filing: MCCALLION ANNE - Form 4

Class A Common Stock	01/18/2018	M	5,000 <u>(1)</u>	A	\$ 0 <u>(2)</u>	5,000	I	The McCallion Family Trust dated 12/21/98
Class A Common Stock	01/18/2018	S	5,000 <u>(3)</u>	D	\$ 23.28 <u>(5)</u>	0	I	The McCallion Family Trust dated 12/21/98
Class A Common Stock						10,526 <u>(6)</u>	D	

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 Underlying Securities (Instr. 3 and 4)	Amount or Number of Shares	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	
Cl A Units of Private Nat'l Mortgage Acceptance Company, LLC	<u>(2)</u>	01/17/2018		M	5,000	<u>(2)</u>	<u>(2)</u>	Class A Common Stock	5,000 <u>(1)</u>
Cl A Units of Private Nat'l Mortgage Acceptance Company, LLC	<u>(2)</u>	01/18/2018		M	5,000	<u>(2)</u>	<u>(2)</u>	Class A Common Stock	5,000 <u>(1)</u>
Nonstatutory	\$ 21.03					06/13/2014	06/12/2023	Class A	15,88



## Edgar Filing: MCCALLION ANNE - Form 4

- The price reported is the weighted average price of multiple transactions at prices ranging from \$23.20 to \$23.325. The reporting person
- (5) hereby undertakes to provide upon request to the SEC, the Issuer or a security holder of the Issuer the number of shares of Class A Common Stock and the prices at which the transactions were effected.
  - (6) The reported amount consists of 9,002 restricted stock units and 1,524 shares of Class A Common Stock. The restricted stock units are to be settled in an equal number of shares of Class A Common Stock upon vesting.

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.