### Edgar Filing: Smart & Final Stores, Inc. - Form 4

Form 4 February 03										PROVAL	
FORM	Л 4 <sub>UNITED</sub>	STATES	OMB	THOVAL							
	CIVILD	STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES							Number:	3235-0287	
Check th if no lon subject t Section Form 4 of	nger to <b>STATE</b> 16. or								Expires:January 3 200Estimated average burden hours per response0.1		
Form 5 obligations may continue. See Instruction 1(b). 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)										
Hirz David G. Symbo				Issuer Name <b>and</b> Ticker or Trading bol art & Final Stores, Inc. [SFS]				5. Relationship of Reporting Person(s) to Issuer (Check all applicable)			
(Last)	(First)	(Middle)	3. Date of Earliest Transaction				(Check				
				n/Day/Year)				X Director 10% Owner X Officer (give title Other (specify below) below) President & CEO			
				mendment, Date Original ⁄Ionth/Day/Year)				6. Individual or Joint/Group Filing(Check Applicable Line) _X_Form filed by One Reporting Person			
	CE, CA 90040							Form filed by Me Person	ore than One Re	porting	
(City)	(State)	(Zip)	Tal	ble I - Non	-Derivativ	e Secu	irities Acqu	iired, Disposed of,	or Beneficial	ly Owned	
1.Title of Security2. Transaction Date (Month/Day/Year)2A. Deemed Execution Date, if any (Month/Day/Year)				Code (Instr. 3, 4 and 5)				Securities Beneficially Owned Following Reported Transaction(s)	es Ownership Indirect ially Form: Beneficial Direct (D) Ownership ng or Indirect (Instr. 4) d (I) tion(s) (Instr. 4)		
common				Code V	Amount		Price	(Instr. 3 and 4)			
stock, par value \$0.001	02/01/2016			М	2,069 (1)	А	\$ 2.09	45,285	D		
common stock, par value \$0.001	02/01/2016			S	1,400 $(2)$ $(3)$	D	\$ 16.2571	43,885	D		

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)

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

## 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. Transacti Code (Instr. 8)	5. Number onof Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	1		7. Title and Amount of Underlying Securities (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option (right to buy) (4)	\$ 2.09	02/01/2016		М	2,069	<u>(4)</u>	04/06/2017	common stock	1,013,709 (4)

## **Reporting Owners**

<b>Reporting Owner Name / Address</b>	Relationships						
1	Director	10% Owner	Officer	Other			
Hirz David G. 600 CITADEL DRIVE COMMERCE, CA 90040	Х		President & CEO				
Signaturaa							

## Signatures

/s/ Richard N. Phegley, by power of attorney

\*\*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).

02/03/2016

- (1) These shares were acquired pursuant to exercises of stock options as described in Table II.
- (2) The sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 sales plan adopted by Mr. Hirz on December 11, 2015.

full information regarding the number of shares sold at each separate price within the range set forth above.

(3) These shares are comprised of shares acquired pursuant to exercises of stock options as described in Footnote 1, and were sold in multiple transactions at prices ranging from \$16.25 to \$16.30 per share. The price reported reflects the weighted average price. Mr. Hirz undertakes to provide the issuer, any security holder of the issuer or the staff of the Securities and Exchange Commission, upon request,

The option was granted on April 6, 2010. A portion of the option was scheduled to vest ratably over four years following the date of

(4) grant, and the remainder of the option was scheduled to vest upon achievement by Smart & Final Holdings Corp. of certain performance measures. In connection with the acquisition of Smart & Final Holdings Corp. by Smart & Final Stores, Inc., this option accelerated and vested in accordance with its terms on November 15, 2012.

#### **Remarks:**

#### Exhibit 24 Power of Attorney

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.