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

Form 4 March 31, 2 FORM Check th if no lon subject t Section Form 4 Form 5 obligatio may con <i>See</i> Instr 1(b).	<b>A 4</b> UNITED his box ager to 16. or Filed pur Section 17(	<b>AENT O</b> rsuant to (a) of the	Wa F CHAN Section 1 Public U	NGES IN SECUI	, D.C. 20 BENEF RITIES ne Securit Iding Con	<b>549</b> ICIA ties E	L OWN xchange y Act of	OMMISSION NERSHIP OF e Act of 1934, 1935 or Section 0	OMB Number: Expires: Estimated a burden hou response	•	
(Print or Type	Responses)										
1. Name and A Hirz David	Address of Reporting G.	Person <sup>*</sup>	Symbol	er Name <b>an</b>			-	5. Relationship of Issuer	Reporting Pers	son(s) to	
				mart & Final Stores, Inc. [SFS] Date of Earliest Transaction				(Check all applicable)			
( ) ( ) Duite (			h/Day/Year)				X Director 10% Owner X Officer (give title Other (specify below) below) President & CEO				
			onth/Day/Year) Applicable Line) _X_ Form filed by					Joint/Group Filing(Check			
COMMER	CE, CA 90040							Form filed by M Person	Iore than One Re	porting	
(City)	(State)	(Zip)	Tab	ole I - Non-J	Derivative	Secur	ities Acqu	uired, Disposed of	, or Beneficial	ly Owned	
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	Execution any		3. Transactio Code (Instr. 8)	4. Securit on(A) or Dia (Instr. 3, 4	sposed	l of (D)	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				Code V	Amount	(D)	Price	(Instr. 5 and 4)			
stock, par value \$0.001	03/29/2016			М	4,310 (1)	А	\$ 2.09	48,195	D		
common stock, par value \$0.001	03/29/2016			S	4,310 (2) (3)	D	\$ 16.25	43,885	D		
common stock, par value \$0.001	03/30/2016			М	25,697 (1)	A	\$ 2.09	69,582	D		

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common stock, par value \$0.001	03/30/2016	S	25,697 (2) (3)	D	\$ 43,885 16.25	D
common stock, par value \$0.001	03/30/2016	М	11,160 (1)	A	\$ 2.09 55,045	D
common stock, par value \$0.001	03/30/2016	S	6,532 (2) (3)	D	\$ 48,513 16.25	D
common stock, par value \$0.001	03/30/2016	М	6,819 (1)	A	\$ 2.09 55,332	D
common stock, par value \$0.001	03/30/2016	S	6,819 (2) (3)	D	\$ 48,513 16.25	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.

 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. 5. Number of TransactiorDerivative Code Securities (Instr. 8) 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)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option (right to buy) (4)	\$ 2.09	03/29/2016		М	4,310	<u>(4)</u>	06/04/2017	common stock	1,011,640 (4)
Stock Option (right to buy) (4)	\$ 2.09	03/30/2016		М	25,697	(4)	06/04/2017	common stock	1,007,330 (4)

Stock Option (right to buy) (4)	\$ 2.09	03/30/2016	М	11,160	<u>(4)</u>	06/04/2017	common stock	981,633 (4)
Stock Option (right to buy) (4)	\$ 2.09	03/30/2016	М	6,819	<u>(4)</u>	06/04/2017	common stock	970,473 <u>(4)</u>

## **Reporting Owners**

<b>Reporting Owner Name / Address</b>	Relationships						
	Director	10% Owner	Officer	Other			
Hirz David G. 600 CITADEL DRIVE COMMERCE, CA 90040	Х		President & CEO				
Signatures							
/s/ Richard N. Phegley, by pow attorney	ver of	03	3/31/2016				

<u>\*\*</u>Signature of Reporting Person

## **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).

Date

- (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.

These shares are comprised of shares acquired pursuant to exercises of stock options as described in Footnote 1, and were sold in multiple(3) transactions at a single price point of 16.25 per share. Mr. Hirz undertakes to provide the issuer, any security holder of the issuer or the staff of the Securities and Exchange Commission, upon request, full information regarding the shares sold.

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 grant, and the remainder of the option was scheduled to vest upon achievement by Smart & Final Holdings Corp. of certain performance

(4) gran, and the remainder of the option was scheduled to vest upon achievement by smart & Final Holdings Corp. or 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.

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.