PENNYMAC FINANCIAL SERVICES, INC.

Form 4

December 04, 2015

E O D I									OMB A	DDBOVAI		
FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549								OMB Number:	1B APPROVAL er: 3235-0287			
Check t				Ü					Expires:	January 31,		
if no lor subject Section Form 4	to <b>STATE</b> N 16.	STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES							Estimated average burden hours per response 0.5			
Form 5 obligati may con See Inst	ons ntinue. Section 170	(a) of the P	ublic U	tility Ho	lding Co	mpa	_	e Act of 1934, 1935 or Section 0	·			
(Print or Type	Responses)											
Walker David M Symbol								5. Relationship of Reporting Person(s) to Issuer				
	PENNYMAC FINANCIAL SERVICES, INC. [PFSI]					(Check all applicable)						
			3. Date of Earliest Transaction (Month/Day/Year)					Director 10% Owner X Officer (give title Other (specify				
C/O PENNYMAC FINANCIAL 12/02/2015 below) below) SERVICES, INC., 6101 CONDOR DRIVE									r			
				f Amendment, Date Original ed(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				
	RK, CA 93021							Person	ore than One R	eporting		
(City)	(State)	(Zip)					_	iired, Disposed of				
1.Title of Security (Instr. 3)	curity (Month/Day/Year) Execution Date, if			Code (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	12/02/2015			M	5,000 (1)	A	Ш	6,168	I	The Walker Trust 2002 Dated February 13, 2002, As Amended		
Class A Common	12/02/2015			S	5,000 (2)	D	\$ 16.0582	1,168	I	The Walker		

	E	dgar Filing: PEN	INYMAC FINAN	NCIAL	SER	VICES, I	NC Form	1 4			
Stock					(3	3)			Trust 20 Dated Februar 13, 200 As Amendo	y 2,	
Class A Common Stock	12/03/2015		M 5,(1)	000 <sub>A</sub>	Α Ω	<u>1)</u>	6,168	I	The Walker Trust 20 Dated Februar 13, 2000 As Amendo	y 2,	
Class A Common Stock	12/03/2015		S 5,(2)	000 I			1,168	I	The Walker Trust 20 Dated Februar 13, 200 As Amendo	y 2,	
Reminder: Rep	ort on a separat	e line for each class o	of securities beneficia	Person informa require	s who ation ed to i	o respond contained respond u	rectly. I to the collect I in this form nless the for alid OMB cor	are not m	SEC 1474 (9-02)		
		Table II - Derivativ	ve Securities Acquir s, calls, warrants, o								
1. Title of Derivative Security (Instr. 3)	2. 3. Transaction Date Conversion or Exercise Price of Derivative Security 3. Transaction Date (Month/Day/Year)		3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transa Code (Instr.	Section of	. Number f Derivative ecurities acquired (A) or pisposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)		(Instr. 3 and 4)		8. I De Sec (In
				Code			Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Cl A Units of Private	(1)	12/02/2015		M		5,000 (1)	<u>(1)</u>	<u>(1)</u>	Class A Common	5,000	

Nat'l

Mortgage

Stock

Acceptance Company, LLC

LLC

Cl A Units of Private Nat'l Class A 5,000 (1) 12/03/2015 M (1) Common Mortgage (1) 5,000 (1) Acceptance Stock Company,

## **Reporting Owners**

Reporting Owner Name / Address	Relationships					
1	Director	10% Owner	Officer	Other		
Walker David M C/O PENNYMAC FINANCIAL SERVICES, INC. 6101 CONDOR DRIVE MOORPARK CA 93021			Chief Credit Officer			

## **Signatures**

/s/ Derek W. Stark, attorney-in-fact for Mr.
Walker
12/04/2015

\*\*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).
- Pursuant to the terms of an exchange agreement, Class A Units of Private National Mortgage Acceptance Company, LLC are
- (1) exchangeable for shares of Class A Common Stock of the Issuer on a one-for-one basis, subject to customary conversion rate adjustments.
- (2) These shares of Class A Common Stock were sold pursuant to a 10b5-1 plan.
- The price reported is the weighted average price of multiple transactions ranging from \$16.00 to \$16.14. The reporting person hereby (3) undertakes to provide upon request to the SEC, the Issuer or a security holder of the Issuer the number of common shares of beneficial interest and the prices at which the transactions were effected.
- The price reported is the weighted average price of multiple transactions ranging from \$16.08 to \$16.51. The reporting person hereby (4) undertakes to provide upon request to the SEC, the Issuer or a security holder of the Issuer the number of common shares of beneficial interest and the prices at which the transactions were effected.

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.

Reporting Owners 3