

BROADWAY FINANCIAL CORP \DE\
Form 5

January 21, 2014

FORM 5

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

Check this box if
no longer subject
to Section 16.
Form 4 or Form
5 obligations
may continue.
See Instruction
1(b).
Form 3 Holdings
Reported
Form 4
Transactions
Reported

ANNUAL 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

OMB APPROVAL

OMB
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1. Name and Address of Reporting Person *
MADDOX ALBERT O

(Last) (First) (Middle)

5055 WILSHIRE BOULEVARD,
SUITE 500

(Street)

LOS ANGELES, CA 90036

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading
Symbol
BROADWAY FINANCIAL CORP
\DE\ [BYFC]

3. Statement for Issuer's Fiscal Year Ended
(Month/Day/Year)
12/31/2013

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

☒ Director ☐ 10% Owner
☐ Officer (give title below) ☐ Other (specify below)

6. Individual or Joint/Group Reporting

(check applicable line)

☒ Form Filed by One Reporting Person
☐ Form Filed by More than One Reporting
Person

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 at end of Issuer's Fiscal Year (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership (Instr. 4)
				(A) or (D)	Amount Price		
Common Stock ⁽¹⁾	Â	Â	Â	Â	Â	15,894	D
Common Stock ⁽³⁾	Â	Â	Â	Â	Â	19,231	D

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

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contained in this form are not required to respond unless
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SEC 2270
(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 of Underlying Securities (Instr. 3 and 4)
					(A) (D)	Date Exercisable Expiration Date	Title Amount or Number of Shares
Stock Option (Right to Buy)	\$ 6	Â	Â	Â	Â Â	01/21/2010 ⁽²⁾ 01/21/2020	Common Stock 1,250
Stock Option (Right to Buy)	\$ 4	Â	Â	Â	Â Â	01/21/2009 ⁽²⁾ 01/21/2019	Common Stock 1,875

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
MADDOX ALBERT O 5055 WILSHIRE BOULEVARD, SUITE 500 LOS ANGELES, CA 90036	Â X Â Â Â

Signatures

Daniele C. Johnson,
Attorney-as-in-fact

01/21/2014

__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).

- (1) These shares are held in the name of "Albert O. Maddox and Dorothy Deloise Maddox as Trustees U/D/T dated February 19, 1991."
- (2) This is a Stock Option Grant (Right to Buy) approved by the Board of Directors on January 21, 2009 and January 21, 2010. Fully vested upon granting.
- (3) On July 2, 2012, an investment of Capital was made in exchange for common stock. These shares are held in the name of "Albert O. Maddox and Dorothy Deloise Maddox as Trustees U/D/T dated February 19, 1991."

Note: File three copies of this Form, one of which must be manually signed. If space provided is insufficient, see Instruction 6 for procedure.

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