

Jury Dennis Charles  
Form 4  
October 03, 2018

**FORM 4**

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

OMB APPROVAL

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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 \*  
Jury Dennis Charles

2. Issuer Name and Ticker or Trading Symbol  
S&W Seed Co [SANW]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)  
5 LOCHNESS AVENUE

3. Date of Earliest Transaction (Month/Day/Year)  
10/01/2018

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

EVP Operations and COO

(Street)  
TORRENS PARK SA, C3 5062

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

(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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
|                                 |                                      |  | Code                           | V Amount (A) or (D) Price   |   |  |   |
| Common Stock                    | 10/01/2018                           |  | M <sup>(1)</sup>               | 266 A \$ 0  | 5,935 <sup>(2)</sup>  | D  |   |
| Common Stock                    | 10/01/2018                           |  | M <sup>(1)</sup>               | 252 A \$ 0  | 6,187   | D  |   |
| Common Stock                    | 10/01/2018                           |  | M <sup>(1)</sup>               | 239 A \$ 0  | 6,426   | D  |   |
| Common Stock                    |                                      |  |                                |   | 225,838   | I  | By Retirement Fund <sup>(3)</sup>                     |
| Common Stock                    |                                      |  |                                |   | 15,000  | I  | By Family Trust <sup>(4)</sup>                        |

## Edgar Filing: Jury Dennis Charles - Form 4

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

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(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) | Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------------|
| Restricted Stock Units                     | (5)  | 10/01/2018                           |  | M                              | 266   | 01/01/2017 <sup>(6)</sup> 10/01/2019 <sup>(6)</sup>      | Common Stock  | 266                        |
| Restricted Stock Units                     | (5)  | 10/01/2018                           |  | M                              | 252   | 10/01/2017 <sup>(7)</sup> 07/01/2020 <sup>(7)</sup>      | Common Stock  | 252                        |
| Restricted Stock Units                     | (5)  | 10/01/2018                           |  | M                              | 239   | 10/01/2018 <sup>(8)</sup> 07/01/2021 <sup>(8)</sup>      | Common Stock  | 239                        |

## Reporting Owners

| Reporting Owner Name / Address                                       | Relationships |           |                        |       |
|--|---------------|-----------|------------------------|-------|
|  | Director      | 10% Owner | Officer                | Other |
| Jury Dennis Charles<br>5 LOCHNESS AVENUE<br>TORRENS PARK SA, C3 5062 |               |           | EVP Operations and COO |       |

## Signatures

/s/ Dennis C. Jury  
10/03/2018  
Date

\*\*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).

- (1) Represents the settlement of restricted stock units ("RSUs") that vested on October 1, 2018 through the issuance of shares of common stock.
- (2) Corrects a two share previously-reported typographical error in the number of shares beneficially owned.
- (3) These shares are owned directly by the Jury Bain Superannuation Fund, a retirement fund directed by the reporting person and under which he is a beneficiary.
- (4) These shares are owned directly by Jury Family Nominees Pty Ltd, which is the Corporate Trustee of the Jury Bain Family Trust A/C. The reporting person is a joint trustee and beneficiary of the family trust.
- (5) Each RSU is the economic equivalent of one share of S&W Seed Company common stock. The closing price of SANW on the October 1, 2018 vesting date was \$2.69.  
  
On October 5, 2016, the reporting person was granted 3,200 RSUs, of which 266 vested on October 1, 2018. The remaining unvested  
(6) RSUs will continue to vest in equal installments on the first day of each quarter through and including October 1, 2019, subject to the reporting person's continued service with the Issuer on each respective vesting date.  
  
On September 18, 2017, the reporting person was granted 3,025 RSUs, of which 252 vested on October 1, 2018. The remaining unvested  
(7) RSUs will continue to vest in equal installments on the first day of each quarter through and including July 1, 2020, subject to the reporting person's continued service with the Issuer on each respective vesting date.  
  
On August 31, 2018, the reporting person was granted 2,878 RSUs, of which 239 vested on October 1, 2018. The remaining unvested  
(8) RSUs will continue to vest in equal installments on the first day of each quarter through and including July 1, 2021, subject to the reporting person's continued service with the Issuer on each respective vesting date.

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

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