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

Smart & Fin Form 4	al Stores, Inc.							
April 27, 20	16							
FORM	OMB APPROVAL							
	OMB Number:	3235-0287						
Check th if no lon	ger					Expires:	January 31,	
subject t Section Form 4 c	o STATEMENT 16.	OF CHANGES IN SECU	NERSHIP OF	Estimated a burden hou response	rs per			
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)							
1. Name and A Hirz David	Address of Reporting Person G.	2. Issuer Name an Symbol Smart & Final S			5. Relationship of Reporting Person(s) to Issuer (Check all applicable)			
(Last)	(First) (Middle)	3. Date of Earliest 7	Transaction	(Chec.				
600 CITAD	DEL DRIVE	(Month/Day/Year) 04/25/2016			_X_ Director10% Owner _X_ Officer (give titleOther (specify below) below) President & CEO			
	(Street)	4. If Amendment, D Filed(Month/Day/Yea	-		6. Individual or Joint/Group Filing(Check Applicable Line) _X_Form filed by One Reporting Person			
	CE, CA 90040				Form filed by N Person	lore than One Re	porting	
(City)	(State) (Zip)	Table I - Non-	Derivative Secur	ities Acqu	uired, Disposed of	, or Beneficial	ly Owned	
1.Title of Security (Instr. 3)2. Transaction Date (Month/Day/Year)2A. Deemed Execution Date, if any (Month/Day/Year)			(A)	d of (D)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	Indirect Beneficial	
common		Code V	Amount (D)	Price	(Instr. 3 and 4)			
stock, par value \$0.001	04/25/2016	М	226 <u>(1)</u> A	\$ 2.09	48,739	D		
common stock, par value \$0.001	04/25/2016	S	$\frac{226}{(3)} \frac{(2)}{D}$ D	\$ 16.25	48,513	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)	4. Transactio Code (Instr. 8)	onof Derivative				7. Title and Amount of Underlying Securities (Instr. 3 and 4)		8. Pı Deri Secu (Inst
			Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Stock Option (right to buy) (4)	\$ 2.09	04/25/2016	М	226		<u>(4)</u>	04/06/2017	common stock	963,654 (<u>4)</u>	4

Reporting Owners

Relationships						
Director	10% Owner	Officer	Other			
Х		President & CEO				
	Director	Director 10% Owner	Director 10% Owner Officer			

Signatures

/s/ Leland P. Smith, by power of attorney

**Signature of Reporting Person

Date

04/27/2016

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 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) 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.

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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.