#### LEMON PAULETTE

Form 4

January 30, 2018

# FORM 4

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

OMB Number:

3235-0287

0.5

January 31, Expires: 2005

**OMB APPROVAL** 

Estimated average burden hours per response...

if no longer subject to Section 16. Form 4 or Form 5

obligations

may continue.

See Instruction

Check this box

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person * LEMON PAULETTE			2. Issuer Name <b>and</b> Ticker or Trading Symbol HomeStreet, Inc. [HMST]	5. Relationship of Reporting Person(s) to Issuer  (Check all applicable)		
(Last)	(First)	(Middle)	3. Date of Earliest Transaction	(Check an approacte)		
			(Month/Day/Year)	Director 10% Owner		
601 UNION ST	ΓREET, SU	ITE 2000	01/26/2018	_X_ Officer (give title Other (specify below) below)  EVP - Retail Banking Director		
	(Street)		4. If Amendment, Date Original	6. Individual or Joint/Group Filing(Check		
SEATTLE, WA	A 98101		Filed(Month/Day/Year)	Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting Person		

(City)	(State)	(Zip) Tabl	le I - Non-I	Derivative	Secu	rities A	cquired, Dispose	d of, or Benefi	cially Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transactio Code (Instr. 8)	4. Securities ionAcquired (A) or Disposed of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code V	Amount	or	Price	Transaction(s) (Instr. 3 and 4)		
Common Stock	01/26/2018		M	529	A	\$ 0 (1)	3,373.2	D	
Common Stock	01/28/2018		M	614	A	\$ 0 (2)	3,987.2	D	
Common Stock	01/29/2018		M	294	A	\$ 0 (3)	4,281.2	D	
Common Stock							2,401.232	I	HomeStreet, Inc. 401(k) Savings Plan

#### Edgar Filing: LEMON PAULETTE - Form 4

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.

SEC 1474 (9-02)

> De Sec (In

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. Transactic Code (Instr. 8)	onDerivative Expiration		6. Date Exer Expiration D (Month/Day/	ate	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
Restricted Stock Units	\$ 0 (5)	01/26/2018		M		529	<u>(6)</u>	<u>(6)</u>	Common Stock	529
Restricted Stock Units	<u>(5)</u>	01/28/2018		M		614	<u>(7)</u>	<u>(7)</u>	Common Stock	614
Restricted Stock Units	<u>(5)</u>	01/29/2018		M		294	<u>(8)</u>	<u>(8)</u>	Common Stock	294
Restricted Stock Units	<u>(5)</u>	01/29/2018		A	1,458		<u>(9)</u>	<u>(9)</u>	Common Stock	1,458

## **Reporting Owners**

Reporting Owner Name / Address	Relationships					
topoloning of their status of the status of	Director	10% Owner	Officer	Other		
LEMON PAULETTE 601 UNION STREET, SUITE 2000 SEATTLE, WA 98101			EVP - Retail Banking Director			

## **Signatures**

/s/ Donna M. Cochener, Attorney in fact for Paulette Lemon	01/30/2018	
**Signature of Reporting Person	Date	

Reporting Owners 2

#### Edgar Filing: LEMON PAULETTE - Form 4

### **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) Common stock acquired upon vesting of Restricted Stock Units ("RSUs") granted on January 26, 2017.
- (2) Common stock acquired upon vesting of RSUs granted on January 28, 2016.
- (3) Common stock acquired upon vesting of RSUs granted on January 29, 2015.
- Participants in HomeStreet, Inc.'s 401(k) Savings Plan, or the "401(k) Plan", have the authority to direct voting of shares they hold through the 401(k) Plan.
- (5) Each RSU represents a contingent right to receive one share of HomeStreet common stock. RSUs do not require the holder to pay any consideration on vesting.
- On January 26, 2017, the reporting person was granted 1,587 RSUs, which vest incrementally in equal amounts on January 26, 2018, January 26, 2019, and January 26, 2020, respectively. In the event of a change in control, all unvested RSUs may vest immediately under certain circumstances. Upon vesting, the reporting person will receive a number of shares of HomeStreet common stock equal to the number of RSUs that vest on that date.
- On January 28, 2016, the reporting person was granted 1,842 RSUs, which vest incrementally in equal amounts on January 28, 2017,

  January 28, 2018 and January 28, 2019, respectively. In the event of a change in control, all unvested RSUs may vest immediately under certain circumstances. Upon vesting, the reporting person will receive a number of shares of HomeStreet common stock equal to the number of RSUs that vest on that date.
- On January 29, 2015, the reporting person was granted 882 RSUs, which vest incrementally in equal amounts on January 29, 2016,
  January 29, 2017, and January 29, 2018, respectively. In the event of a change in control, all unvested RSUs may vest immediately under certain circumstances. Upon vesting, the reporting person will receive a number of shares of HomeStreet common stock equal to the number of RSUs that vest on that date.
- On January 29, 2018, the reporting person was granted 1,458 RSUs, which vest incrementally in equal amounts on January 29, 2019, January 29, 2020, and January 29, 2021, respectively. In the event of a change in control, all unvested RSUs may vest immediately under certain circumstances. Upon vesting, the reporting person will receive a number of shares of HomeStreet common stock equal to the number of RSUs that vest on that date.
- (10) The reporting person's remaining RSUs includes 614 RSUs granted on January 28, 2016, which vest on January 28, 2019, and 1,058 RSUs granted on January 26, 2017, which vest incrementally in equal amounts on January 26, 2019 and January 26, 2020, respectively. In the event of a change in control, all unvested RSUs may vest immediately under certain circumstances. Upon vesting, the reporting person will receive a number of shares of HomeStreet common stock equal to the number of RSUs that vest on that date.

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.