PENNYMAC FINANCIAL SERVICES, INC.

Form 4/A

February 01, 2016

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

OMB Number:

3235-0287

Expires:

January 31, 2005

0.5

Estimated average burden hours per

OMB APPROVAL

response...

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

obligations

may continue.

See Instruction

Check this box

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 * Jones Doug

2. Issuer Name and Ticker or Trading Symbol

Issuer

(Check all applicable)

5. Relationship of Reporting Person(s) to

(Last)

(First)

(Middle)

SERVICES, INC. [PFSI] 3. Date of Earliest Transaction

PENNYMAC FINANCIAL

Director X_ Officer (give title below)

10% Owner Other (specify

(Month/Day/Year) 02/01/2016

C/O PENNYMAC FINANCIAL SERVICES, INC., 6101 CONDOR DRIVE

(Street)

4. If Amendment, Date Original

Filed(Month/Day/Year) 11/17/2015

3.

6. Individual or Joint/Group Filing(Check

Ch Institutional Mrtg Bnkg Off

Applicable Line)

X Form filed by One Reporting Person Form filed by More than One Reporting

MOORPARK, CA 93021

(City) (State) (Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

6. Ownership 7. Nature of

1.Title of Security (Instr. 3)

2. Transaction Date 2A. Deemed (Month/Day/Year)

Execution Date, if

(Month/Day/Year)

TransactionAcquired (A) or Code (Instr. 8)

Disposed of (D) (Instr. 3, 4 and 5)

4. Securities

5. Amount of Securities Beneficially Owned Following Reported

Form: Direct (D) or Indirect (I) (Instr. 4)

Indirect Beneficial Ownership (Instr. 4)

(A)

Transaction(s) (Instr. 3 and 4)

Code V Amount (D) Price

The Jones 6,000 (1) I Family

Common Stock

Class A

Trust

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

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SEC 1474 (9-02)

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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. Transac Code (Instr. 8 | 5. tionNumber of) Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | S | Date | 7. Title and a Underlying S (Instr. 3 and | Securities | 8. Pri Deriv Secur (Instr |
|--|---|---|---|------------------------------------|---|---------------------|--------------------|---|----------------------------------|------------------------------------|
| | | | | Code \ | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | |
| Cl A Units of Private Nat'l Mortgage Acceptance Company, LLC | <u>(2)</u> | | | | | (2) | (2) | Class A Common Stock | 757,767 | |

Reporting Owners

Relationships Reporting Owner Name / Address

> Director 10% Owner Officer Other

> > Ch Institutional Mrtg Bnkg Off

Jones Doug

C/O PENNYMAC FINANCIAL SERVICES, INC.

6101 CONDOR DRIVE

MOORPARK, CA 93021

Signatures

/s/ Derek W. Stark, attorney-in-fact for Mr. 02/01/2016 Jones

> **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).

This report amends a Form 4 filed by the Reporting Person on November 17, 2015, which reported a disposition of Class A Units of Private National Mortgage Acceptance Company, LLC and a corresponding acquisition of shares of Class A Common Stock of the company on November 16, 2015 pursuant to a Rule 10b5-1 plan previously established by the Reporting Person. On January 22, 2016,

- (1) the Reporting Person and the broker administering the Rule 10b5-1 plan determined that, due to broker drafting and administration errors with respect to the plan, the November 16, 2015 exchange was not properly effected and that the resulting record keeping errors needed to be reversed. This amended report shows a reversal of that reported transaction. Upon determination of the errors, the Reporting Person terminated the Rule 10b5-1 Sales Plan on January 28, 2016.
- (2) Pursuant to the terms of an exchange agreement, Class A Units of Private National Mortgage Acceptance Company, LLC are exchangeable for shares of Class A Common Stock of the Issuer on a one-for-one basis, subject to customary conversion rate

Reporting Owners 2

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adjustments.

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.