

Jury Dennis Charles  
 Form 4  
 July 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

(Last) (First) (Middle)

5 LOCHNESS AVENUE

(Street)

TORRENS PARK SA, C3 5062

(City) (State) (Zip)

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

3. Date of Earliest Transaction  
 (Month/Day/Year)  
 07/01/2018

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)

EVP of Operations and COO

6. Individual or Joint/Group Filing(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 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	07/01/2018		M <sup>(1)</sup>	653 A \$ 0	5,149 <sup>(2)</sup>	D	
Common Stock	07/01/2018		M <sup>(1)</sup>	266 A \$ 0	5,415	D	
Common Stock	07/01/2018		M <sup>(1)</sup>	252 A \$ 0	5,667	D	
Common Stock					240,838 <sup>(2)</sup>	I	By Retirement Fund <sup>(3)</sup>

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

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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. 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	(4)	07/01/2018		M	653	07/01/2018 <sup>(5)</sup> 07/01/2018 <sup>(5)</sup>	Common Stock	653
Restricted Stock Units	(4)	07/01/2018		M	266	07/01/2018 <sup>(6)</sup> 10/01/2019 <sup>(6)</sup>	Common Stock	266
Restricted Stock Units	(4)	07/01/2018		M	252	07/01/2018 <sup>(7)</sup> 07/01/2020 <sup>(7)</sup>	Common Stock	252

## Reporting Owners

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

## Signatures

/s/Debra K. Weiner, as attorney-in-fact for Dennis C. Jury 07/03/2018

\_\_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) Represents the settlement of restricted stock units ("RSUs") that vested on July 1, 2018 through the issuance of shares of common stock.
- (2) Takes into account the transfer for no consideration of 15,000 shares from direct ownership to indirect ownership between the reporting person and his retirement fund, effective as of December 22, 2017.
- (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) Each RSU is the economic equivalent of one share of S&W Seed Company common stock. The closing price of SANW on June 29, 2018 (the last trading day before the July 1, 2018 vesting date, which fell on a weekend) was \$3.25.
- (5) On July 15, 2015, the reporting person was granted 8,333 RSUs, of which the final installment of 653 RSUs vested on July 1, 2018.  
On October 5, 2016, the reporting person was granted 3,200 RSUs, of which 266 vested on July 1, 2018. The remaining RSUs will
- (6) 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 July 1, 2018. The remaining RSUs will
- (7) 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.

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.