

PENNYMAC FINANCIAL SERVICES, INC.

Form 5

February 01, 2017

# FORM 5

OMB APPROVAL

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

OMB Number: 3235-0362  
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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).  
 Form 3 Holdings Reported Form 4 Transactions Reported

## ANNUAL 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. Name and Address of Reporting Person \*  
**Grogin Jeffrey**

(Last) (First) (Middle)

C/O PENNYMAC FINANCIAL SERVICES, INC., 3043 TOWNSGATE ROAD

(Street)

WESTLAKE VILLAGE, CA 91361

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
**PENNYMAC FINANCIAL SERVICES, INC. [PFSI]**

3. Statement for Issuer's Fiscal Year Ended (Month/Day/Year)  
 12/31/2016

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)  
 CALO

6. Individual or Joint/Group Reporting

(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 at end of Issuer's Fiscal Year (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership (Instr. 4)
				(A) or (D) Price			

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

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SEC 2270 (9-02)

### Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

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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)		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title Underlying Instrument (Instr. 10)	
					(A)	(D)	Date Exercisable	Expiration Date		
CI A Units of Private Nat'l Mortgage Acceptance Company, LLC	Â	06/01/2015	Â	G	Â	707,580 <u>(1) (2)</u>	Â	Â <u>(1)</u>	Â <u>(1)</u>	Class Com Stoc
CI A Units of Private Nat'l Mortgage Acceptance Company, LLC	Â	06/01/2015	Â	G		707,580 <u>(1)</u>	Â	Â <u>(1)</u>	Â <u>(1)</u>	Class Com Stoc
CI A Units of Private Nat'l Mortgage Acceptance Company, LLC	Â	12/30/2016	Â	G	Â	11,064.27 <u>(3)</u>	Â	Â <u>(1)</u>	Â <u>(1)</u>	Class Com Stoc
CI A Units of Private Nat'l Mortgage Acceptance Company, LLC	Â	Â	Â	Â	Â	Â	Â	Â <u>(1)</u>	Â <u>(1)</u>	Class Com Stoc
Nonstatutory Stock Option (Right to Buy)	\$ 21.03	Â	Â	Â	Â	Â	06/13/2014	06/12/2023		Class Com Stoc
Nonstatutory Stock Option (Right to Buy)	\$ 17.26	Â	Â	Â	Â	Â	02/26/2015	02/25/2024		Class Com Stoc
Nonstatutory Stock Option (Right to Buy)	\$ 17.52	Â	Â	Â	Â	Â	03/03/2016	03/02/2025		Class Com Stoc
Nonstatutory Stock Option (Right to Buy)	\$ 11.28	Â	Â	Â	Â	Â	03/07/2017	03/06/2026		Class Com Stoc

