

BROADWAY FINANCIAL CORP \DE\  
Form 4  
October 16, 2014

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
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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 \*  
CHAN KELLOGG

2. Issuer Name and Ticker or Trading Symbol  
BROADWAY FINANCIAL CORP  
\DE\ [BYFC]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)  
5055 WILSHIRE BOULEVARD,  
SUITE 500  
  
(Street)

3. Date of Earliest Transaction  
(Month/Day/Year)  
10/16/2014

Director  10% Owner  
 Officer (give title below)  Other (specify below)

LOS ANGELES, CA 90036

(City) (State) (Zip)

4. If Amendment, Date Original Filed(Month/Day/Year)

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 Ownership (Instr. 4)
Common Stock <sup>(1)</sup>	10/16/2014	10/16/2014	P	(A) Amount 50,000 <sup>(2)</sup>	Price \$ 1.1	94,033 <sup>(3)</sup> <sup>(2)</sup>	D

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

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SEC 1474 (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) (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
Common Stock Option-right to buy <sup>(4)</sup>	\$ 4	01/21/2009		A V	1,875	01/21/2014 02/21/2019	Common Stock	1,875
Common Stock Option - right to buy <sup>(5)</sup>	\$ 6	01/21/2010		A V	1,250	01/21/2015 01/21/2020	Common Stock	1,250

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
CHAN KELLOGG 5055 WILSHIRE BOULEVARD, SUITE 500 LOS ANGELES, CA 90036	X			

## Signatures

Daniele C. Johnson,  
Attorney-as-in-fact

10/16/2014

\_\_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) On September 17, 2014, the Stockholders approved a proposal allowing directors and certain executives to purchase restricted common stock of the company. Regulatory approval was received. The transaction closed on October 16, 2014.
  - (2) These shares are held jointly in trust with spouse.
  - (3) These shares are held directly.
  - (4) On January 21, 2009, the Board of Directors approved a stock option grant (right to buy) in the amount of 1875 shares at \$4.00 per share.
  - (5) On January 21, 2010, the Board of Directors approved a stock option grant (right to buy) in the amount of 1250 shares at \$6.00 per share.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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