



Advanced Search



Each depositor insured to at least \$250,000 per insured bank

Beneficial Ownership Filings: Filing

Form 4

Statement of Changes in Beneficial Ownership of Securities
 Filed pursuant to Section 16(a) of the Securities Exchange Act 1934

FRB OMB Number: 7100-0091
 FDIC OMB Number: 3064-0030
 OCC OMB Number: 1557-0106

Filing Information

No longer subject to Section 16. Form 4 or Form 5 obligations may continue.

| Issuer Name | Ticker or Trading Symbol | Date of Earliest Transaction Required to be Reported | If Amendment, Date of Original Filing |
|---------------------|--------------------------|--|---------------------------------------|
| First Republic Bank | FRC | 02/28/2014 | |

Filer Information

| Name of Reporting Person | Street Address | City | State | ZIP Code | Relationship of Reporting Person to Issuer |
|--------------------------|---|---------------|-------|----------|--|
| David B. Lichtman | c/o First Republic Bank 111 Pine Street, 2nd Floor | San Francisco | CA | 94111 | Officer Description: Executive Vice President and Chief Credit Officer |

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

| Title of Security | Transaction Date | Deemed Execution Date | Transaction Code | V | Amount of Securities Acquired or Disposed of | Price of Securities Acquired or Disposed of | Amount of Securities Beneficially Owned Following Reported Transactions | Ownership Form | Nature of Indirect Beneficial Ownership |
|--------------------|------------------|-----------------------|------------------|---|--|---|---|----------------|---|
| Common Stock(1)(2) | 02/28/2014 | | F | | 2,610 Shares (D) | \$51.97 | 39,748 Shares | Direct | |
| Common Stock | 02/28/2014 | | M | | 1,250 Shares (A) | \$51.97 | 1,250 Shares | Indirect | By Spouse |
| Common Stock | 02/28/2014 | | F | | 543 Shares (D) | \$51.97 | 707 Shares | Indirect | By Spouse |

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

| Title of Derivative Security | Conversion or Exercise Price of Derivative Security | Transaction Date | Deemed Execution Date | Transaction Code | V | Number of Derivative Securities Acquired or Disposed of | Date Exercisable | Expiration Date | Title of Underlying Securities | Amount of Underlying Securities | Price of Derivative Security | Number of Derivative Securities Beneficially Owned Following | Ownership Form of Derivative Securities | Nature of Indirect Beneficial Ownership |
|------------------------------|---|------------------|-----------------------|------------------|---|---|------------------|-----------------|--------------------------------|---------------------------------|------------------------------|--|---|---|
|------------------------------|---|------------------|-----------------------|------------------|---|---|------------------|-----------------|--------------------------------|---------------------------------|------------------------------|--|---|---|

| | | | | | | | | | | | Reported Transactions | | | |
|--|---------|------------|--|---|--|------------------|--|------------|--------------|--------------|-----------------------|--------|----------|-----------|
| Employee Stock Option (right to buy) (3) | \$15.00 | | | | | | | 07/01/2020 | Common Stock | | | 72,000 | Direct | |
| Employee Stock Option (right to buy) (4) | \$15.00 | | | | | | | 07/01/2020 | Common Stock | | | 33,000 | Direct | |
| Restricted Stock Units (5) | \$15.00 | | | | | | | 07/01/2020 | Common Stock | | | 45,000 | Indirect | By Spouse |
| Restricted Stock Units (6) | | | | | | | | 04/23/2016 | Common Stock | | | 3,750 | Indirect | By Spouse |
| Restricted Stock Units (7) | | 02/28/2014 | | M | | 1,250 Shares (D) | | 03/01/2017 | Common Stock | 1,250 Shares | | 3,750 | Indirect | By Spouse |

Explanation of Responses

- (1) 15,000 shares are subject to a restricted stock award made on March 22, 2012 and 3,750 shares subject to such restricted stock award become vested on each March 22, 2013, 2014, 2015 and 2016.
- (2) A restricted stock award of 20,000 shares was made on March 1, 2013 and 5,000 shares become vested on each March 1, 2014, 2015, 2016 and 2017, in each case dependent on the achievement of certain performance goals.
- (3) The option becomes exercisable with respect to 33,000 shares on July 1, 2011, and on each April 30 of 2012, 2013 and 2014, in each case dependent on the achievement of certain performance goals.
- (4) The option becomes exercisable with respect to 8,250 shares on each July 1 of 2011, 2012, 2013 and 2014.
- (5) The option becomes exercisable with respect to 15,000 shares on July 1, 2011, and on each April 30 of 2012, 2013 and 2014, in each case dependent on the achievement of certain performance goals.
- (6) Restricted Stock Units (RSUs) are awarded under the Company's 2010 Omnibus Award Plan and 1,250 units vest annually on April 23, 2013, 2014, 2015 and 2016.
- (7) An award of 5,000 RSUs was made on March 1, 2013 and 1,250 units vest annually on March 1, 2014, 2015, 2016 and 2017, in each case dependent on the achievement of certain performance goals.

* Signed by: _____ (/s/David B. Lichtman) Date: 03/03/2014

The agencies are collecting the information on Forms 3, 4, and 5 pursuant to 15 USC 78l, to assist investors in making investment decisions. The burden estimate for providing the required information on Forms 3, 4, and 5 ranges from 0.5 to 1.0 hour for each form. Comments on the accuracy of this burden estimate and suggestions for reducing this burden may be addressed to PRA Clearance Officer, Legal Division, FDIC, 550 17 St. NW, Washington, DC 20429 (for State nonmember banks); Cindy Ayouch, Division of Research and Statistics, Board of Governors of the Federal Reserve System, 20th & C St., NW, Mailstop 41, Washington, DC 20551 (for State member banks); or Jessie Dunaway, Clearance Officer, Legislative and Regulatory Activities Division, Office of the Comptroller of the Currency, 250 E Street, SW, Mailstop 8-4, Washington, DC 20219 (for National banks); or Marilyn Burton, Senior Paralegal (Regulations), Chief Counsel, Regulations & Legislation. The agencies may not conduct or sponsor, and a respondent is not required to respond to, an information collection unless it displays a currently valid Office of Management and Budget (OMB) control number.

* Intentional misstatements or omission of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

[Return to Previous Screen](#)

Last Updated 9/30/2004

FDICconnect@fdic.gov

[Home](#) | [Contact Us](#) | [Search](#) | [Help](#) | [SiteMap](#) | [Forms](#) | [En Español](#)

[Website Policies](#) | [Privacy Policy](#) | [Plain Writing Act of 2010](#) | [USA.gov](#) | [FDIC Office of Inspector General](#)

[Freedom of Information Act \(FOIA\) Service Center](#) | [FDIC Open Government Webpage](#) | [No FEAR Act Data](#)