

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

FORM 4

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

OMB APPROVAL

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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 *
 MEDINA DANIEL A

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

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

(City) (State) (Zip)

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 ⁽¹⁾ | 10/16/2014 | | P | V | 22,727 <u>(4)</u> | A | \$ 1.1 51,999 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 Security (Instr. 3 and 4) | Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------------|
| Common Stock Options-right to buy ⁽²⁾ | \$ 4 | 01/21/2009 | | A V | 1,875 | 01/21/2014 01/21/2019 | Common Stock | 1,875 |
| Common Stock Option-right to buy ⁽³⁾ | \$ 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 |
| MEDINA DANIEL A 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 executive to purchase restricted common stock of the company. Regulatory approval was received. The transaction closed on October 16, 2014.
- (2) 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.
- (3) 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.
- (4) These shares are held jointly in trust with spouse.

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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