## Edgar Filing: SVB FINANCIAL GROUP - Form 3

SVB FINANCIAL GROUP

Form 3

October 09, 2015

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

**OMB APPROVAL** 

**OMB** Number:

response...

3235-0104

0.5

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

January 31, Expires: 2005

Estimated average burden hours per

**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 \*

Leone Roger

(Last)

(Middle)

Statement

(Month/Day/Year)

10/01/2015

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

**SVB FINANCIAL** 

GROUP, 3003 TASMAN

DRIVE

(Street)

(First)

SVB FINANCIAL GROUP [SIVB]

4. Relationship of Reporting

Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

(Check all applicable)

Director

10% Owner

\_X\_\_ Officer Other (give title below) (specify below) Chief Information Officer

6. Individual or Joint/Group

Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

SANTA CLARA. CAÂ 95054

(City) (State)

1. Title of Security (Instr. 4)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned

2. Amount of Securities Beneficially Owned

(Instr. 4)

3. Ownership 4. Nature of Indirect Beneficial Ownership

(Instr. 5)

Form: Direct (D) or Indirect (I)

(Instr. 5)

SEC 1473 (7-02)

Reminder: Report on a separate line for each class of securities beneficially

owned directly or indirectly.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security

(Instr. 4)

2. Date Exercisable and **Expiration Date** 

(Month/Day/Year)

3. Title and Amount of Securities Underlying **Derivative Security** 

4 Conversion or Exercise

5. Ownership Form of

6. Nature of Indirect Beneficial

Ownership

Date

(Instr. 4)

Price of

Derivative (Instr. 5)

Derivative Security: Expiration Title Amount or Security Direct (D) Exercisable Number of Date

## Edgar Filing: SVB FINANCIAL GROUP - Form 3

				Shares		or Indirect (I) (Instr. 5)	
Restricted Stock Unit	02/02/2016	02/02/2022	Common Stock	533 (1)	\$ 0	D	Â
Stock Option	02/02/2016	02/02/2022	Common	1,399 (2)	\$ 116.78	D	Â

# **Reporting Owners**

Reporting Owner Name / Address	Kelationships					
	Director	10% Owner	Officer	Other		
Leone Roger						
SVB FINANCIAL GROUP	â	â	Chief Information Officer	â		
3003 TASMAN DRIVE	A	A	A Ciliei illioilliation Officei	A		
SANTA CLARA, CA 95054						

# **Signatures**

Denise West, Attorney-in-Fact for Roger Leone 10/09/2015

## **Explanation of Responses:**

\*\*Signature of Reporting Person

- \* If the form is filed by more than one reporting person, see Instruction 5(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) Vesting schedule over four years with equal percentage vesting each year of 25% beginning exercisable date. These restricted stock units are not vested at filing date.

Date

(2) Vesting schedule over four years with equal percentage vesting each year of 25% beginning exercisable date. These options are not exercisable at filing 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.

Reporting Owners 2