Edgar Filing: Waterstone Financial, Inc. - Form 4

Form 4 January 23, 2										APPROVAL	
FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION								-	APPROVAL		
		Washington, D.C. 20549								3235-0287	
Check th if no long subject to Section 1 Form 4 c	ger 5 STATEN 6. r	STATEMENT OF CHANGES IN BENEFICIAL OWNER SECURITIES							Expires: Estimated burden ho response.	urs per	
Form 5 obligations may continue. See Instruction 1(b). 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 <u>*</u> Bruss William F			2. Issuer Name and Ticker or Trading Symbol Waterstone Financial, Inc. [WSBF]				-	5. Relationship of Reporting Person(s) to Issuer			
(Last) (First) (Middle) 3. Date o			f Earliest Transaction				(Check all applicable)				
((Month/Day/Year) 01/22/2014					Director 10% Owner X Officer (give title Other (specify below) below) COO General Counsel			
				endment, Date Original nth/Day/Year)				 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person 			
WAUWATOSA, WI 53226 — Form filed by More than One Reporting Person									Reporting		
(City)	(State)	(Zip)	Tabl	e I - Non-D	Derivative S	Securi	ties Ac	quired, Disposed o	f, or Beneficia	ally Owned	
1.Title of Security (Instr. 3)		any		3. 4. Securities Acquired Transaction(A) or Disposed of Code (D) (Instr. 8) (Instr. 3, 4 and 5) (A) or			Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership 7. Nature of Form: Direct Indirect (D) or Beneficial Indirect (I) Ownership (Instr. 4) (Instr. 4)			
				Code V	Amount	(D)	Price	(Instr. 3 and 4)			
Common Stock	01/22/2014			А	12,497	А	\$ 10	12,497	I	by 401(k) plan	
Common Stock (1)	01/22/2014			А	21,329 (1)	А	\$0	21,329 <u>(1)</u>	I	By ESOP	
Common Stock (1)	01/22/2014			А	32,370 (1)	А	\$0	32,370 <u>(1)</u>	D		
Common Stock (1)	01/22/2014			А	21 <u>(1)</u>	А	\$0	21 (1)	Ι	By Custodian	

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 Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

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. Transactio Code (Instr. 8)	5. Number of orDerivative 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)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Options	\$ 16.11 (2)	01/22/2014		А	54,865 (2)	01/22/2014	01/05/2017	Common Stock	54,865 (2)
Stock Options	\$ 1.73 <u>(2)</u>	01/22/2014		А	38,405 (2)	01/22/2014	01/04/2022	Common Stock	38,405 (2)

Reporting Owners

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
Bruss William F 11200 W PLANK COURT WAUWATOSA, WI 53226			COO General Counsel				
Signatures							
/s/ Richard C. Larson, attorney		01/23/20	14				

in fact

**Signature of Reporting Person

Date

orting Person

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) Pursuant to the Plan of Conversion and Reorganization of Lamplighter Financial, MHC, each share of Waterstone Financial, Inc. (Federal corporation) was exchanged for 1.0973 shares of common stock of Waterstone Financial, Inc. (Maryland corporation).
- (2) Purusant to the Plan of Conversion and Reorganization of Lamplighter Financial, MHC, each option to purchase shares of common stock of Waterstone Financial, Inc. (Federal corporation) was converted into an option to purchase shares of common stock of Waterstone Financial, Inc. (Maryland corporation) by multiplying the number of shares subject to each option by the 1.0973 exchange ratio. The exercise price per share of each converted option was determined by dividing the exercise price of the option by the 1.0973 exchange

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ratio. All such converted options continue to vest based on the original terms.

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.