

HomeStreet, Inc.  
Form 4  
November 25, 2013

# FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2015  
Estimated average burden hours per response... 0.5

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 \*  
MASON MARK K

(Last) (First) (Middle)

601 UNION STREET, SUITE 2000

(Street)

SEATTLE, WA 98101

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
HomeStreet, Inc. [HMST]

3. Date of Earliest Transaction (Month/Day/Year)  
11/21/2013

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

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 Indirect Beneficial Ownership (Instr. 4) |                        |   |                    |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|------------------------|---|--------------------|
|                                 |                                      |  | Code                           | V   | Amount or Price   |  |   |                        |   |                    |
| Common Stock                    | 11/21/2013                           |  | M                              |   | 200,000   | A  | \$ 0  | 200,000                | D |                    |
| Common Stock                    | 11/21/2013                           |  | S                              |   | 7,674   | D  | \$ 20.196   | 192,326                | D |                    |
| Common Stock                    | 11/22/2013                           |  | S                              |   | 33,321  | D  | \$ 20.203   | 159,005                | D |                    |
| Common Stock                    | 11/25/2013                           |  | S                              |   | 48,005  | D  | \$ 20.446   | 111,000                | D |                    |
| Common Stock                    |                                      |  |                                |   |   |  |   | 126,164 <sup>(1)</sup> | I | Mason Family Trust |

DTD  
2/16/99  
(2)

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.**

SEC 1474  
(9-02)

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
*(e.g., puts, calls, warrants, options, convertible securities)*

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2. Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4. Transaction<br>Code<br>(Instr. 8) | 5. Number of<br>Derivative<br>Securities                      |                    | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) | 7. Title and Amount of<br>Underlying Securities<br>(Instr. 3 and 4) |                            |
|---|--|---|---|--------------------------------------|---|--------------------|--|---|----------------------------|
|   |  |   |   |                                      | Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4, and<br>5) |                    |  | Title   | Amount<br>Number<br>Shares |
| Employee<br>Stock<br>Option<br>(Right To<br>Buy)    | \$ 0.75  | 11/21/2013                              |   | M                                    | V   | (A) 200,000<br>(D) | <u>(3)</u> 10/22/2020  | Common<br>Stock   | 200,000                    |

## Reporting Owners

| Reporting Owner Name / Address                                    | Relationships |           |                |       |
|---|---------------|-----------|----------------|-------|
|   | Director      | 10% Owner | Officer        | Other |
| MASON MARK K<br>601 UNION STREET, SUITE 2000<br>SEATTLE, WA 98101 | X             |           | CEO, President |       |

## Signatures

/s/ Godfrey B. Evans, attorney in fact for Mark K.  
Mason 11/25/2013

        \*\*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) These shares were previously reported as held directly by Mr. Mason and prior to the date of this report were transferred into the Mason Family Trust dated 2/16/99.
- (2) Mr. Mason and his wife, Tracy Mason, are the co-trustees and co-beneficiaries for the Mason Family Trust dated 2/16/99.

## Edgar Filing: HomeStreet, Inc. - Form 4

(3) These options were fully vested as of October 22, 2013.

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.