

Cox Philip C  
Form 4  
August 03, 2017

# 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

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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 \*  
Cox Philip C

2. Issuer Name and Ticker or Trading Symbol  
SVB FINANCIAL GROUP [SIVB]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

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

\_\_\_\_ Director  
\_\_\_\_ Officer (give title below)  
\_\_\_\_ 10% Owner  
\_\_\_\_ Other (specify below)

3005 TASMAN DRIVE

08/01/2017

Head EMEA India & President,UK

(Street)

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

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, CA 95054

(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 Indirect Beneficial Ownership (Instr. 4)		
			Code	V	Amount	(A) or (D)	Price		
Common Stock	06/30/2017		A	V	76 <sup>(1)</sup>	A	\$ 146.302	2,872	D
Common Stock	08/01/2017		M		906	A	\$ 105.18	3,778	D
Common Stock	08/01/2017		M		1,175	A	\$ 71.11	4,953	D
Common Stock	08/01/2017		M		356	A	\$ 129.81	5,309	D
Common Stock	08/01/2017		M		272	A	\$ 129.81	5,581	D

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Common Stock	08/01/2017	M	857	A	\$ 107.98	6,438	D
Common Stock	08/01/2017	S	797	D	\$ 182.8125 (2)	5,641	D
Common Stock	08/01/2017	S	709	D	\$ 182.74	4,932	D
Common Stock	08/01/2017	S	912	D	\$ 182.81	4,020	D
Common Stock	08/01/2017	S	306	D	\$ 182.7434 (3)	3,714	D
Common Stock	08/01/2017	S	300	D	\$ 182.955 (4)	3,414	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)

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 Securities (Instr. 3 and 4)	8. Amount or Number of Shares
Stock Option	\$ 129.81	08/01/2017		M	356	(5) 05/01/2022	Common Stock	356
Stock Option	\$ 129.81	08/01/2017		M	272	(5) 05/01/2022	Common Stock	272
Stock Option	\$ 107.98	08/01/2017		M	857	(6) 04/29/2021	Common Stock	857
Stock Option	\$ 105.18	08/01/2017		M	906	(7) 05/02/2023	Common Stock	906
	\$ 71.11	08/01/2017		M	1,175	(8) 04/30/2020		1,175

Stock  
Option

Common  
Stock

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Cox Philip C 3005 TASMAN DRIVE SANTA CLARA, CA 95054			Head EMEA India & President,UK	

## Signatures

Denise West, Attorney-in-Fact for  
Philip Cox

08/03/2017

\_\_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 acquired under the Issuer's Employee Stock Purchase Plan in transactions that were exempt under both Rule 16b-3(d) and Rule 16b-3(c).
- (2) This transaction was executed in multiple trades at prices ranging from \$182.81 USD to \$182.815 USD; the price reported above reflects the weighted average sale price.
- (3) This transaction was executed in multiple trades at prices ranging from \$182.74 USD to \$182.81 USD; the price reported above reflects the weighted average sale price.
- (4) This transaction was executed in multiple trades at prices ranging from \$182.91 USD to \$183.00 USD; the price reported above reflects the weighted average sale price.
- (5) 25%/4yr beginning on 01-May-2016.
- (6) 25%/4yr beginning on 29-Apr-2015.
- (7) 25%/4yr beginning on 02-May-2017.
- (8) 25%/4yr beginning on 30-Apr-2014.

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.