

S&W Seed Co  
Form 4  
March 06, 2015

**FORM 4**

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

OMB APPROVAL

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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 \*  
**KARSTEN DANIEL Z**

(Last) (First) (Middle)

C/O S&W SEED COMPANY, 7108  
NORTH FRESNO STREET, SUITE  
380

(Street)

FRESNO, CA 93720

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
**S&W Seed Co [SANW]**

3. Date of Earliest Transaction  
(Month/Day/Year)  
**03/04/2015**

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)  
Vice President of Processing

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				(A) or (D)	Price
Common Stock	03/04/2015		M			20,000	A	\$ 4	20,000	D	
Common Stock	03/04/2015		S			2,537	D	\$ 4.67	17,463	D	
Common Stock	03/04/2015		S			100	D	\$ 4.635	17,363	D	
Common Stock	03/04/2015		S			53	D	\$ 4.63	17,310	D	
Common Stock	03/04/2015		S			1,500	D	\$ 4.62	15,810	D	

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Common Stock	03/04/2015	S	41	D	\$ 4.61	15,769	D
Common Stock	03/04/2015	S	3,983	D	\$ 4.6	11,786	D
Common Stock	03/04/2015	S	300	D	\$ 4.56	11,486	D
Common Stock	03/04/2015	S	1,100	D	\$ 4.55	10,386	D
Common Stock	03/04/2015	S	400	D	\$ 4.54	9,986	D
Common Stock	03/04/2015	S	700	D	\$ 4.535	9,286	D
Common Stock	03/04/2015	S	1,730	D	\$ 4.53	7,556	D
Common Stock	03/04/2015	S	3,700	D	\$ 4.51	3,856	D
Common Stock	03/04/2015	S	600	D	\$ 4.505	3,256	D
Common Stock	03/04/2015	S	3,256	D	\$ 4.5	0	D

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.**

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**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)		
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Option (right to buy)	\$ 4	03/04/2015		M	20,000	<u>(1)</u>	03/09/2015	Common Stock	20,000

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
KARSTEN DANIEL Z C/O S&W SEED COMPANY 7108 NORTH FRESNO STREET, SUITE 380 FRESNO, CA 93720			Vice President of Processing	

## Signatures

Daniel Z. Karsten	03/06/2015
**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) The options vested and became exercisable in 12 quarterly installments over three years, commencing on July 1, 2010 and thereafter on the first day of each succeeding fiscal quarter (October 1, January 1, April 1 and July 1) through and including April 1, 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.