SEC Form 4
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## FORM 4

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1. Name and Addre	1 0	erson <sup>*</sup>	2. Issuer Name and Ticker or Trading Symbol SMITH & WESSON BRANDS, INC.	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
<u>SCOTT ROBERT L</u>			SWBI ]	X	Director	10% Owner		
(Last) 2100 ROOSEV	(First) (Middle) SEVELT AVENUE		3. Date of Earliest Transaction (Month/Day/Year)       10/13/2020		Officer (give title below)	Other (specify below)		
(Street) SPRINGFIELD	Street) SPRINGFIELD MA 01104	<ul> <li>4. If Amendment, Date of Original Filed (Month/Day/Year)</li> </ul>	6. Indi Line) X	vidual or Joint/Group Fili Form filed by One Re Form filed by More th	porting Person			
(City)	(State)	(Zip)	ative Securities Acquired, Disposed of, or Bene	ficially	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)			4. Securities Disposed Of 5)			5. Amount of Securities Beneficially Owned Following Reported	Form: Direct	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(1130. 4)
Common Stock	10/13/2020		<b>A</b> <sup>(1)</sup>		5,114 <sup>(1)</sup>	A	\$0.00	104,932	D	
Common Stock	10/15/2020		<b>S</b> <sup>(2)</sup>		3,000	D	\$16.15	101,932	D	

#### 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. Transa Code ( 8)	(Instr.				7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				

Explanation of Responses:

1. 1/12th of the restricted stock units shall vest on the 13th day of each month following the date of grant. 100% of the shares underlying the vested restricted stock units shall be delivered on the one year anniversary of the date of grant.

2. The shares were sold pursuant to a 10b5-1 Trading Plan dated September 29, 2020.

**Remarks:** 

#### /s/ Robert J. Cicero, as

attorney-in-fact

Date

10/15/2020

\*\* Signature of Reporting Person

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

 $^{*}$  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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).