

SECURITIES & EXCHANGE COMMISSION EDGAR FILING

WILLAMETTE VALLEY VINEYARDS INC

Form: 4

Date Filed: 2019-04-09

Corporate Issuer CIK: 838875

FORM 4

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

OMB APPROVAL	
OMB Number:	3235-0287
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 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person BERNAU JAMES W			2. Issuer Name and Ticker or Trading Symbol WILLAMETTE VALLEY VINEYARDS INC [WVVI]			5. Relationship of Reporting Person(s) to Issuer (Check all applicable) ☐ Director ☐ 10% Owner ☒ Officer (give title below) ☐ Other (specify below) Chief Executive Officer		
(Last) (First) (Middle) 8800 ENCHANTED WAY SE			3. Date of Earliest Transaction (Month/Day/Year) 04/05/2019					
(Street) TURNER, OR 97392			4. If Amendment, Date Original Filed(Month/Day/Year)			6. Individual or Joint/Group Filing(Check Applicable Line) ☒ Form filed by One Reporting Person ☐ Form filed by More than One Reporting Person		
(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)	
Common Stock	04/05/2019	04/05/2019	S	627	D	\$ 7.10	431,898	
Common Stock	04/08/2019	04/08/2019	S	1	D	\$ 7.10	431,897	
Common Stock	04/09/2019	04/09/2019	S	271	D	\$ 7.10	431,626	

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)
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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)		8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form of Derivative Security: 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				

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BERNAU JAMES W 8800 ENCHANTED WAY SE TURNER, OR 97392	X	X	Chief Executive Officer	

Signatures

/s/ James W. Bernau	04/09/2019
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).

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

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Washington, D.C. 20549

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per response... 0.5

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longer subject to Section
16. Form 4 or Form 5
obligations may continue.
See Instruction 1(b).

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(Print or Type Responses)

1. Name and Address of Reporting Person BERNAU JAMES W			2. Issuer Name and Ticker or Trading Symbol WILLAMETTE VALLEY VINEYARDS INC [WVVI]			5. Relationship of Reporting Person(s) to Issuer (Check all applicable) ☐ Director ☐ 10% Owner ☒ Officer (give title below) ☐ Other (specify below) Chief Executive Officer		
(Last) (First) (Middle) 8800 ENCHANTED WAY SE			3. Date of Earliest Transaction (Month/Day/Year) 04/05/2019					
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			Code	V	Amount	(A) or (D)	Price	
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Reporting Owners

Reporting Owner Name / Address	Relationships			
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BERNAU JAMES W 8800 ENCHANTED WAY SE TURNER, OR 97392	X	X	Chief Executive Officer	

Signatures

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