

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

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

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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 or Section 30(h) of the Investment Company Act of 1940

| | | | | | | | | | | | | - | | | | | | |
|---|-------------------------|---------------------------------------|----------------------|--------|--|--|------------|------------|--------|--------------------------------------|--------------------|---|--|--------------|------------------------|--|----------------------------|--|
| 1. Name and Address of Reporting Person * | | | | 2. I | 2. Issuer Name and Ticker or Trading Symbol | | | | | | | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) | | | | | | |
| Adolf Ruedig | ger | | | | Fo | cus | Finai | icial Pa | rtne | ers I | nc. [F0 | OCS] | | спеск ан арј | рпсавіс) | | | |
| | | | | 2 1 | | | | | | | | | X Director 10% Owner | | | | | |
| (Last) | (Last) (First) (Middle) | | | | 3. 1 | 3. Date of Earliest Transaction (MM/DD/YYYY) | | | | | | | _X_ Officer (give title below) Other (specify below) | | | | | |
| 875 THIRD AVENUE, 28TH FLOOR | | | | | 12/7/2022 | | | | | | (| CEO and Chairman | | | | | | |
| (Street) | | | | 4. I | 4. If Amendment, Date Original Filed (MM/DD/YYYY) | | | | | |) 6 | 6. Individual or Joint/Group Filing (Check Applicable Line) | | | | | | |
| NIEW MODIZ NIN 10022 | | | | | - · · · · · · · · · · · · · · · · · · · | | | | | | | | | | | | | |
| NEW YORK, NY 10022 | | | | | | | | | | | - | X _ Form filed by One Reporting Person Form filed by More than One Reporting Person | | | | | | |
| (C | city) (Sta | te) (Zip) |) | | | | | | | | | | | | | one reporting r | | |
| | | , | Table I | [- No | n-Der | ivati | ve Seci | ırities Ac | guire | ed, D | isposed o | of, or Be | nef | icially Owne | ed | | | |
| 1. Title of Security 2. Trans. 1 | | | | | | 3. Trans. Code | | | | | | mount of Securit | 6. | 7. Nature | | | | |
| (Instr. 3) | | | | | Execution Date, if any | | (Instr. 8) | | | | | | Following Reported Transaction(s) Ownership of Indi Instr. 3 and 4) Ownership of Indi Benefi | | | | of Indirect Beneficial | |
| | | | | | | Date, if any | | | | (Ilisti. 3, 4 alid 3) | | | Direct (D) Owner | | | | Ownership | |
| | | | | | | | | | | | (A) o | r | | | | | or Indirect (I) (Instr. | (Instr. 4) |
| | | | | | | | | Code | V | Amo | | Price | | | | | 4) | |
| | | | | G | •,• | | e · 11 | 0 1/ | | | | | | ,• | | • • • | | |
| | | | | - + | | | | | | | | | | tions, conve | | | 1 | 1 |
| Title of Derivate Security | | Trans.Date | 3A. Dee Execution | | Trans. Code | 8) Derivative Acquired | | | | and Expiration Date Securi Deriva | | Title an Securities | | | 8. Price of Derivative | Number of derivative | 10. Ownership | Nature of Indirect |
| (Instr. 3) | | | Date, if ar | any | (Instr. 8) | | | | | | | Derivative Se (Instr. 3 and 4 | | | Security | Securities | Form of | Beneficial |
| | | | | | | | | 4 and 5) | | | (1 | | na 4 |) | (Instr. 5) | Beneficially Owned Following Reported | | Ownership (Instr. 4) |
| | | | | | | | ` ' | | | | | | | Amount or | | | | |
| | | | | | | | | | Date | cisable | Expiration Date | Title | | Number of | | Transaction(s) | (I) (Instr. | |
| | | | | | Code | V | (A) | (D) | 2,1011 | | | | | Shares | | (Instr. 4) | 4) | |
| Common Units in Focus Financial Partners, LLC | (1) | 12/7/2022 | | | F (2) | | | 788 | | <u>(1)</u> | (1) | Class Comm Stock | on | 788 | \$36.75 | 11357 (3) | D | |
| Common Units in Focus Financial Partners, LLC | (4) | | | | | | | | | (4) | (4) | Class Comm Stock | on | 160450 | | 160450 | I | By Adolf Family Trust II (5) |
| Common Units in Focus Financial Partners, LLC | (4) | | | | | | | | ! | (4) | (4) | Class Comm Stock | on | 58499 | | 58499 | D | |
| Common Units in Focus Financial Partners, LLC | (4) | | | | | | | | | <u>(6)</u> | <u>(6)</u> | Class Comm Stock | on | 29525 | | 29525 | D | |

Explanation of Responses:

- (1) As previously reported, on December 7, 2020, the Reporting Person acquired 12,933 unvested common units that vest in four equal installments on each anniversary of December 7, 2020. Vested common units are exchangeable (together with an equal number of shares of Class B common stock), subject to certain restrictions in the Fourth Amended and Restated Operating Agreement of Focus Financial Partners, LLC ("Focus LLC"), for (i) an equal number of shares of the Issuer's Class A common stock or, (ii) at the election of the Issuer, cash.
- (2) On December 7, 2022, 3,234 of the Reporting Person's unvested common units vested and 788 of such common units were withheld by the Issuer to satisfy the tax obligations upon vesting. The number of common units withheld was based on the closing price of the Issuer's Class A common stock on December 6, 2022.
- (3) As of the date of this report, 4,891 of these common units are vested and 6,466 of these common units are unvested.
- (4) Vested common units are exchangeable (together with an equal number of shares of Class B common stock), subject to certain restrictions in the Fourth Amended and Restated Operating Agreement of Focus LLC, for (i) an equal number of shares of the Issuer's Class A common stock or, (ii) at the election of the Issuer, cash.
- (5) Represents securities held by the Adolf Family Trust II, an irrevocable trust established by the Reporting Person for the benefit of his children. The Reporting Person disclaims beneficial ownership of the securities owned by the trust except to the extent of his indirect pecuniary interest therein.
- (6) These common units will vest in four equal installments on each anniversary of December 22, 2021.

| Reporting | Owners | |
|-----------|--------|--|
|-----------|--------|--|

| Reporting Owner Name / Address | Relationships | | | | | | |
|--------------------------------|---------------|-----------|------------------|-------|--|--|--|
| Reporting Owner Name / Address | Director | 10% Owner | Officer | Other | | | |
| Adolf Ruediger | | | | | | | |
| 875 THIRD AVENUE, 28TH FLOOR | X | | CEO and Chairman | | | | |
| NEW YORK, NY 10022 | | | | | | | |

Signatures

| /s/ J. Russell McGranahan as Attorney-in-Fact | 12/9/2022 | | |
|---|-----------|--|--|
| **Signature of Reporting Person | Date | | |

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 control number.