#### UNITY BANCORP INC /NJ/

Form 4 June 08, 2017

## FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB** Number:

**OMB APPROVAL** 

3235-0287

Expires:

January 31, 2005

0.5

Estimated average burden hours per

response...

if no longer subject to Section 16. Form 4 or Form 5

obligations

Check this box

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, may continue.

Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

1(b).

(Print or Type Responses)

See Instruction

1. Name and Address of Reporting Person \* Patel Raj

2. Issuer Name and Ticker or Trading

Symbol

(Middle)

(Zip)

UNITY BANCORP INC /NJ/ [UNTY]

5. Relationship of Reporting Person(s) to

Issuer

(Check all applicable)

(Last) (First) 3. Date of Earliest Transaction

(Month/Day/Year) 06/07/2017

\_X\_\_ Director Officer (give title

10% Owner Other (specify

C/O UNITY BANCORP, INC., 64 **OLD HIGHWAY 22** 

(Street)

(State)

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

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

**CLINTON, NJ 08809** 

(City)

		14.010	1 11011 2	211,442,6 20041101021109	arrea, Ersposea o	,, от Бологона.	.,
1.Title of	2. Transaction Date	2A. Deemed	3.	4. Securities Acquired	5. Amount of	6. Ownership	7. Nature of
Security	(Month/Day/Year)	Execution Date, if	Transaction	on(A) or Disposed of	Securities	Form: Direct	Indirect
(Instr. 3)		any	Code	(D)	Beneficially	(D) or	Beneficial
		(Month/Day/Year)	(Instr. 8)	(Instr. 3, 4 and 5)	Owned	Indirect (I)	Ownership
		•			Following	(Instr. 4)	(Instr. 4)
				(4)	Reported		
				(A)	Transaction(s)		
			G 1 W	or	(Instr. 3 and 4)		
			Code V	Amount (D) Price			
Common	06/07/2017		M	8,800 A \$	27,249 <u>(1)</u>	D	
Stock	00/07/2017		171	3.46	21,249	D	
Common					4,500 (2)	D	
Restricted					4,500 <u>(-)</u>	D	

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

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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	2.	3. Transaction Date	3A. Deemed	4.	5. Number	6. Date Exercisabl	le and Expiration	7. Title and A	Amount
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transacti	orof Derivative	Date		Underlying S	Securitie
Security	or Exercise		any	Code	Securities	(Month/Day/Year)	t)	(Instr. 3 and 4	4)
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Acquired				
	Derivative				(A) or				
	Security				Disposed of				
					(D)				
					(Instr. 3, 4,				
					and 5)				
									Amoui
									or
						Date Exercisable	Expiration Date	Title	Numbe
									of

Code V (A)

M

(D)

 $8,800 \quad 12/18/2009^{(3)} \quad 12/18/2018^{(3)}$ 

Shares

8,80

Common

Stock

# **Reporting Owners**

\$ 3.46 (3)

Reporting Owner Name / Address	Relationships				
1	Director	10% Owner	Officer	Other	
Patel Raj C/O UNITY BANCORP, INC. 64 OLD HIGHWAY 22 CLINTON, NJ 08809	X				

06/07/2017

## **Signatures**

Stock

Option

Raj Patel, poa Laurie Cook, Controller/SVP 06/08/2017

\*\*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) 27,249 shares are held in a brokerage account in the name of Mr. Patel.
- (2) 4,500 restricted stock shares are held in an account at Computershare, which have future vesting dates.
- (3) 8,800 stock options were granted on 12/18/08, which vested one-third per year commencing 12/18/09; 12/18/10 and 12/18/11 at \$3.46 per share that expire on 12/18/18.
- (4) 5,900 stock options were granted of which 1,467 are currently exercisable.

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.

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