### Edgar Filing: MidWestOne Financial Group, Inc. - Form 4

MidWestOne Financial Group, Inc. Form 4 November 18, 2013

| November 18  | 5, 2013                                 |  |   |  |                  |  |   |  |                     |  |
|--|---|--|---|--|------------------|--|---|--|---------------------|--|
| FORM 4 UNITED STATES SECURITIES AND EXCHANCE COMMISSION  |   |  |   |  |                  |  | OMB APPROVAL  |  |                     |  |
| Washington, D.C. 20549   |   |  |   |  |                  |  |   | OMB<br>Number:   | 3235-0287           |  |
| Check this<br>if no long   | or.                                     |  |   |  |                  |  |   | Expires:   | January 31,<br>2005 |  |
| subject to<br>Section 10<br>Form 4 or  | <b>51A1E</b> M<br>5.                    | ENT OF CH  | CHANGES IN BENEFICIAL OW<br>SECURITIES      |  |                  |  | NERSHIP OF  | Estimated average<br>burden hours per<br>response 0.5                |                     |  |
| Form 5<br>obligations<br>may continue.<br>See Instruction<br>1(b).<br>Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,<br>Section 17(a) of the Public Utility Holding Company Act of 1935 or Section<br>30(h) of the Investment Company Act of 1940 |   |  |   |  |                  |  |   |  |                     |  |
| (Print or Type R   | esponses)                               |  |   |  |                  |  |   |  |                     |  |
| 1. Name and Address of Reporting Person *2. Is:Funk Charles NSymbol  |   |  | 2. Issuer Name <b>and</b> Ticker or Trading |  |                  |  | 5. Relationship of Reporting Person(s) to Issuer  |  |                     |  |
|  |   | VestOne Financial Group, Inc.  |   |  |                  | (Check all applicable)                       |   |  |                     |  |
| (Last)   | (First) (M                              | (First) (Middle) 3. Date of Earliest Transaction<br>(Month/Day/Year) |   |  |                  |  | _X_ Director 10% Owner<br>_X_ Officer (give title Other (specify  |  |                     |  |
| 102 S. CLIN<br>BOX 1700  | TON STREET, P                           |  | 11/18/2013                                  |  |                  |  | below) below)<br>President and CEO  |  |                     |  |
|  |   |  | Amendment, Da<br>(Month/Day/Year            | -  |                  |  | <ul><li>6. Individual or Joint/Group Filing(Check</li><li>Applicable Line)</li><li>_X_ Form filed by One Reporting Person</li></ul> |  |                     |  |
| IOWA CITY, IA 52244-1700   |   |  |   |  |                  | Form filed by More than One Reporting Person |   |  |                     |  |
| (City)   | (State) (2                              | Zip) 7   | Fable I - Non-D                             | erivative  | Securi           | ities Acc                                    | uired, Disposed of  | f, or Beneficial   | ly Owned            |  |
| 1.Title of<br>Security<br>(Instr. 3)   | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date<br>any<br>(Month/Day/Ye                 | Code  | <ul> <li>4. Securities Acquired ction(A) or Disposed of (D)</li> <li>8) (Instr. 3, 4 and 5)</li> </ul> |                  |  | SecuritiesIBeneficially0OwnedIFollowing0  | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) |                     |  |
|  |   |  | Code V                                      | Amount   | (A)<br>or<br>(D) | Price  | Reported<br>Transaction(s)<br>(Instr. 3 and 4)  |  |                     |  |
| Common<br>Stock  | 11/18/2013                              |  | М   | 1,000  | А                | \$<br>9.34                                   | 69,967  | D  |                     |  |
| Common<br>Stock  |   |  |   |  |                  |  | 2,454   | I  | By ESOP             |  |

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<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transactio<br>Code<br>(Instr. 8) | 5. Number<br>on f Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed of<br>(D)<br>(Instr. 3, 4,<br>and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                    | 7. Title and Amount of<br>Underlying Securities<br>(Instr. 3 and 4) |  |
|---|---|---|---|--|---|--|--------------------|---|--|
|   |   |   |   | Code V                                 | (A) (D)   | Date<br>Exercisable  | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of<br>Shares |
| Employee<br>Stock<br>Option<br>(Right to<br>Buy)    | \$ 16.69  |   |   |  |   | (2)  | 04/01/2018         | Common<br>Stock   | 6,000                                  |
| Employee<br>Stock<br>Option<br>(Right to<br>Buy)    | \$ 9.34   | 11/18/2013                              |   | М                                      | 1,000   | <u>(3)</u>   | 01/22/2019         | Common<br>Stock   | 1,000                                  |

## **Reporting Owners**

| Reporting Owner Name / Address   |          | R         | elationships      |       |
|--|----------|-----------|-------------------|-------|
|  | Director | 10% Owner | Officer           | Other |
| Funk Charles N<br>102 S. CLINTON STREET<br>P.O. BOX 1700<br>IOWA CITY, IA 52244-1700 | Х        |           | President and CEO |       |
| Signatures   |          |           |                   |       |

# Kenneth R. Urmie, Corporate Secretary, under Power of Attorney dated January 22, 2009 11/18/2013

\*\*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) Shares held in MidWestOne Financial Group, Inc. Employee Stock Ownership Plan.
- (2) The option vests in four equal annual installments beginning on April 1, 2009.
- (3) The option vests in four equal annual installments beginning on January 22, 2010.

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

### **Reporting Owners**

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