

Shockley C James Jr
Form 4
December 04, 2018

FORM 4

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

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

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person *
Shockley C James Jr

(Last) (First) (Middle)

P.O. BOX 13007

(Street)

ROANOKE, VA 24030

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol

RGC RESOURCES INC [RGC0]

3. Date of Earliest Transaction
(Month/Day/Year)

11/29/2018

4. If Amendment, Date Original
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

____ Director ____ 10% Owner
X Officer (give title ____ Other (specify
below) below)

VP, Operations

6. Individual or Joint/Group Filing(Check
Applicable Line)
X Form filed by One Reporting Person
____ Form filed by More than One Reporting
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)	3. Transaction Code (Instr. 8)	4. Securities Acquired 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 Ownership (Instr. 4)
Common Stock	11/29/2018		M ⁽¹⁾	1,000 A	\$ 12.633	6,568.329	D
Common Stock	11/29/2018		S	1,000 D	\$ 28	5,568.329	D
Common Stock	11/30/2018		M ⁽²⁾	1,900 A	\$ 12.633	7,468.329	D
Common Stock	11/30/2018		S	1,900 D	\$ 28	5,568.329	D

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

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(9-02)

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)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Options	\$ 12.633	11/29/2018		M		1,000		06/06/2014	12/06/2023	Common Stock	1,000
Employee Stock Options	\$ 12.633	11/30/2018		M		1,900		06/06/2014	12/06/2023	Common Stock	1,900
Employee Stock Options	\$ 14.4							06/04/2015	12/04/2024	Common Stock	4,500
Employee Stock Options	\$ 14.147							06/03/2016	12/03/2025	Common Stock	4,500
Employee Stock Options	\$ 16.367							06/08/2017	12/08/2026	Common Stock	4,500

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
Shockley C James Jr P.O. BOX 13007 ROANOKE, VA 24030	VP, Operations

Signatures

C. James
Shockley, Jr.

12/04/2018

__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).

Exercise of options granted 12/06/2013. Includes 2,383 shares purchased 11/01/2018 through dividends reinvested in the RGC Resources,

(1) Inc. Dividend Reinvestment Stock Purchase Plan and 6,538 restricted shares purchased 11/01/2018 through dividends reinvested in the RGC Resources, Inc. Restricted Stock Plan.

(2) Exercise of options granted 12/06/2013.

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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