

KAUCHAK JOHN J
Form 4
May 24, 2018

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2005
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, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person *
KAUCHAK JOHN J

2. Issuer Name and Ticker or Trading Symbol
UNITY BANCORP INC /NJ/
[UNTY]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
UNITY BANK, 64 OLD
HIGHWAY 22

3. Date of Earliest Transaction
(Month/Day/Year)
05/22/2018

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
EVP/COO

(Street)
CLINTON, NJ 08809

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 Ownership (Instr. 4)
Common Stock				(A) Code V Amount (D) Price	50,859 ⁽¹⁾	D	
Restricted Stock					9,400 ⁽²⁾	D	

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)

Edgar Filing: KAUCHAK JOHN J - Form 4

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)	Amount or Number of Shares
Stock Options	\$ 3.62	05/22/2018		M	1,523 (3)	12/10/2010 ⁽⁴⁾ 12/10/2019 ⁽⁴⁾	Common Stock	1,523
Stock Options	\$ 3.62	05/23/2018		M	3,477 (6)	12/10/2010 ⁽⁴⁾ 12/10/2019 ⁽⁴⁾	Common Stock	3,477

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
KAUCHAK JOHN J UNITY BANK 64 OLD HIGHWAY 22 CLINTON, NJ 08809			EVP/COO	

Signatures

John J. Kauchak, POA Laurie Cook,
Controller/SVP

05/24/2018

__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).

- (1) 50,859 shares are held in Mr. Kauchak's acct. at Computershare.
- (2) 9,400 shares are held in an acct. at Computershare, which have upcoming vesting dates.
- (3) Mr. Kauchak exercised 1,523 stock options at \$3.62 per share, and sold at \$23.01 per share.
- (4) 8,800 stock options were granted on 12/10/2009, which vested one-third per year commencing 12/10/2010; 12/10/2011 and 12/10/2012 and expire on 12/10/2019.
- (5) 89,800 stock options were granted of which 69,467 are currently exercisable.
- (6) Mr. Kauchak exercised 3,477 stock options at \$3.62 per share, and sold at \$22.80 per share.

Remarks:

Edgar Filing: KAUCHAK JOHN J - Form 4

Total Amount of Beneficial Securities Owned: 129,726

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.