

WEST BANCORPORATION INC

Form 5

February 03, 2016

**FORM 5****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).

Form 3 Holdings  
Reported  
Form 4  
Transactions  
Reported

**ANNUAL 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

OMB  
Number: 3235-0362  
Expires: January 31,  
2005  
Estimated average  
burden hours per  
response... 1.0

1. Name and Address of Reporting Person \*  
NELSON DAVID D

(Last) (First) (Middle)

1601 22ND STREET

(Street)

2. Issuer Name **and** Ticker or Trading  
Symbol  
WEST BANCORPORATION INC  
[WTBA]

3. Statement for Issuer's Fiscal Year Ended  
(Month/Day/Year)  
12/31/2015

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

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

☒ Director ☐ 10% Owner  
☒ Officer (give title below) ☐ Other (specify below)

CEO &amp; PRESIDENT

6. Individual or Joint/Group Reporting

(check applicable line)

WEST DES MOINES, IA 50266

☒ 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 at end of Issuer's Fiscal Year (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
				Amount	(A) or (D)	Price			
COMMON STOCK	02/25/2015	Â	L	283	A	\$ 17.69 (1)	77,439	D	Â
COMMON STOCK	03/25/2015	Â	G	2,999	D	\$ 0 (2)	74,440	D	Â
COMMON STOCK	05/20/2015	Â	P	310	A	\$ 18.61 (1)	74,750	D	Â

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COMMON STOCK	08/03/2015	Â	G	1,097	D	\$ 0 <sup>(3)</sup>	73,653	D	Â
COMMON STOCK	08/19/2015	Â	P	297	A	\$ 19.6 <sup>(1)</sup>	73,950	D	Â
COMMON STOCK	11/25/2015	Â	P	283	A	\$ 20.7 <sup>(1)</sup>	74,233	D	Â
COMMON STOCK	03/25/2015	Â	G	2,999	A	\$ 0 <sup>(2)</sup>	16,706	I	By Katherine A. Nelson Rev Trust
COMMON STOCK	08/03/2015	Â	G	1,097	A	\$ 0 <sup>(3)</sup>	17,803	I	By Katherine A. Nelson Rev Trust
COMMON STOCK	Â	Â	Â	Â	Â	Â	18,852 <sup>(4)</sup> <sup>(5)</sup>	I	By 401(k) Plan

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.**

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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)	8. Price of Derivative Security (Instr. 5)	9. of D
						Date Exercisable Expiration Date	Title	Amount or Number of Shares	
					(A) (D)				

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
NELSON DAVID D 1601 22ND STREET WEST DES MOINES, IA 50266	Â X	Â	Â CEO & PRESIDENT	Â

## Signatures

Marie I. Roberts, By Power of  
Attorney

02/03/2016

\_\_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) Share acquired pursuant to reinvestment of dividends received into purchases of new shares.
- (2) 2,999 shares were transferred to the Katherine A. Nelson Revocable Trust.
- (3) 1,097 shares were transferred to the Katherine A. Nelson Revocable Trust.
- (4) 15,560 shares held in 401(k) Plan had previously been reported as direct holdings.
- (5) 3,292 shares were acquired pursuant to purchases in the employee savings plan (401(k)) during the year 2015.

Note: File three copies of this Form, one of which must be manually signed. If space provided 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.