Courtright Wayne Form 4 December 26, 2018

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

Washington, D.C. 20549

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

Check this box

**SECURITIES** Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,

obligations may continue. See Instruction

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)

1. Name and Address of Reporting Person \*

Courtright Wayne

2. Issuer Name and Ticker or Trading

Symbol

UNITY BANCORP INC /NJ/

[UNTY]

(Last) (First) (Middle)

(Street)

(State)

(Zip)

3. Date of Earliest Transaction

(Month/Day/Year)

12/21/2018

5. Relationship of Reporting Person(s) to

OMB

Number:

Expires:

response...

Estimated average

burden hours per

**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

Issuer

below)

(Check all applicable)

10% Owner

Other (specify

C/O UNITY BANK, 64 OLD

HIGHWAY 22

(City)

4. If Amendment, Date Original

Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check

Applicable Line)

X\_ Director

Officer (give title

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

D

Person

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

**CLINTON, NJ 08809** 

6. Ownership 7. Nature of 1.Title of 2. Transaction Date 2A. Deemed 3. 4. Securities 5. Amount of Security (Month/Day/Year) Execution Date, if TransactionAcquired (A) or Securities Form: Direct Indirect (Instr. 3) Code Disposed of (D) Beneficially (D) or Beneficial (Instr. 3, 4 and 5) Ownership (Month/Day/Year) (Instr. 8) Owned Indirect (I) (Instr. 4) Following (Instr. 4)

> Reported (A) Transaction(s) or (Instr. 3 and 4)

Code V Amount (D) Price

Restricted

 $3,490^{(1)}$ D Stock

Common Stock

 $107,396 \frac{(2)}{}$ 

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)

1

#### Edgar Filing: Courtright Wayne - 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. Transactio 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 II S (
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Stock Options	\$ 18.25	12/21/2018		A	3,000	12/21/2019	12/21/2028	Common Stock	3,000	

## **Reporting Owners**

Reporting Owner Name / Address	Relationships					
<b>Fg</b> - m	Director	10% Owner	Officer	Other		
Courtright Wayne C/O UNITY BANK 64 OLD HIGHWAY 22 CLINTON, NJ 08809	X					

### **Signatures**

Wayne Courtright, POA Alan Bedner, CFO/EVP

12/26/2018

\*\*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) 3,490 shares are held in an account at Computershare, which have upcoming vesting dates.
- (2) 107,396 shares are held in multiple brokerage accounts.
- (3) 3,000 stock options were granted on 12/21/18 at \$18.25 per share, which vest 1/3 per year; i.e., 1,000 on 12/21/19; 1,000 on 12/21/20; and 1,000 on 12/21/21.
- (4) 12,200 stock options were granted under various dates and vesting periods of which 3,467 are currently exercisable.

#### **Remarks:**

Total Amount of Beneficial Securities Owned: 114,353

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.

Reporting Owners 2