

D ORAZIO JOHN S
Form 4
December 07, 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

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
D ORAZIO JOHN S

(Last) (First) (Middle)

PO 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)

12/04/2018

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 & President

6. Individual or Joint/Group Filing(Check
Applicable Line)
☒ 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 Indirect Beneficial Ownership (Instr. 4)
Common Stock	12/04/2018		M ⁽¹⁾	247	A \$ 12.673	37,763.392	D
Common Stock	12/04/2018		S	247	D \$ 27.9	37,516.392	D
Common Stock	12/06/2018		M ⁽²⁾	361	A \$ 12.673	37,877.392	D
Common Stock	12/06/2018		S	361	D \$ 27.5	37,516.392	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)	8. Amount or Number of Shares
				Code	V	(A)	(D)	
Employee Stock Options	\$ 12.673	12/04/2018		M		247	10/01/2013 04/01/2023	Common Stock 247
Employee Stock Options	\$ 12.673	12/06/2018		M		361	10/01/2013 04/01/2023	Common Stock 361
Employee Stock Options	\$ 12.633						06/06/2014 12/06/2023	Common Stock 7,500
Employee Stock Options	\$ 14.4						06/04/2015 12/04/2024	Common stock 7,500
Employee Stock Options	\$ 14.147						06/03/2016 12/03/2025	Common Stock 8,250
Employee Stock Options	\$ 16.367						06/08/2017 12/08/2026	Common Stock 9,750

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
D ORAZIO JOHN S PO BOX 13007	X		CEO & President	

ROANOKE, VA 24030

Signatures

John S.
D'Orazio

12/07/2018

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 04/01/2013. Includes 175.659 shares purchased through dividends reinvested in the RGC Resources, Inc.
(1) Dividend Reinvestment Stock Purchase Plan and 28.128 restricted shares purchased 11/01/2017 through dividends reinvested in the RGC Resources, Inc. Restricted Stock Plan.
(2) Exercise of options granted 04/01/2013.

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