

TUCKER ALLEN
Form 4
March 13, 2018

FORM 4

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

OMB APPROVAL

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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 *
TUCKER ALLEN

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)

3. Date of Earliest Transaction (Month/Day/Year)
03/09/2018

Director 10% Owner
 Officer (give title below) Other (specify below)
Vice Chairman of the Board

C/O UNITYBANK CORP, 64 OLD HWY 22

(Street)

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

CLINTON, NJ 08809

(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)
			Code	V Amount (A) or (D) Price			
Common Stock	03/09/2018		M	8,800 A \$ 3.46	356,708 ⁽¹⁾	D	
Common Stock					63,497 ⁽²⁾	I	Spouse
Restricted Stock					3,943 ⁽³⁾	D	

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

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SEC 1474 (9-02)

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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 (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)
Stock Options	\$ 3.46	03/09/2018		M	8,800 <u>(4)</u>	12/18/2009 ⁽⁵⁾ 12/18/2018 ⁽⁵⁾	Common Stock 8,800

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
TUCKER ALLEN C/O UNITYBANK CORP 64 OLD HWY 22 CLINTON, NJ 08809	X			Vice Chairman of the Board

Signatures

Allen Tucker, POA Laurie Cook,
Controller/SVP
Date: 03/12/2018

**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) 240,888 shares are held in a brokerage account; 115,820 shares are held in an account at Computershare for a total of 356,708.
- (2) 12,403 shares are held in an account in Charlotte Tucker's name; 3,029 are held in a trust account; and 48,065 are held in a brokerage account for a total of 63,497.
- (3) 3,490 restricted stock shares are held in an account at Computershare, which have upcoming vesting dates; 453 shares are dividend reinvestment shares for a total of 3,943.
- (4) Mr. Tucker exercised 8,800 stock options at \$3.46 per share.
- (5) 8,800 stock options were granted on 12/18/2008, which vested one-third per year at \$3.46 per share and expire on 12/18/2018.
- (6) 9,200 stock options were granted under various dates and vesting periods of which 3,467 are currently exercisable.

Remarks:

Total Beneficial Ownership: 427,615

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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