

COLE JOHN J JR
Form 4
April 12, 2019

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
Number: 3235-0287
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person *
COLE JOHN J JR

2. Issuer Name **and** Ticker or Trading
Symbol
SOUTHWEST GEORGIA
FINANCIAL CORP [SGB]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction
(Month/Day/Year)
04/12/2019

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

(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

(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 (A) or Disposed of Code (D) (Instr. 8)	4. Securities Acquired (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)
Southwest Georgia Financial Corp ⁽¹⁾	04/12/2019 ⁽¹⁾		P ⁽¹⁾	<u>(1)</u> 258 ⁽¹⁾ A <u>(1)</u>	23,786	D	
Southwest Georgia Financial Corp ⁽²⁾	04/12/2019 ⁽²⁾		J ⁽²⁾	<u>(2)</u> 276 ⁽²⁾ A <u>(2)</u>	57,471	I	ESOP shares
Southwest Georgia Financial Corp ⁽³⁾	04/12/2019 ⁽³⁾		D ⁽³⁾	<u>(3)</u> 57,195 ⁽³⁾ D <u>(3)</u>	276	I	ESOP shares

Southwest
Georgia
Financial
Corp ⁽⁴⁾

04/12/2019⁽⁴⁾

J⁽⁴⁾ ⁽⁴⁾ 4,620 D ⁽⁴⁾ 0

I

Spouse
shares

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)

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. Nu Deriv Secur Bene Own Follo Repo Trans (Instr
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

COLE JOHN J JR

X

Signatures

John J Cole Jr By Tammy
Croyle AIF

04/12/2019

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) Director/Officer Stock Purchase Plan shares purchased during 1st quarter 2019 at an average price of \$20.98878 per share.

(2) ESOP shares added for 2018 at \$20.28 per share.

Edgar Filing: COLE JOHN J JR - Form 4

- (3) ESOP shares sold back to the plan at \$21.96 per share.
- (4) Shares owned by spouse consolidated into joint ownership.

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.