

BRODY MARK S
Form 4
December 26, 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

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(Print or Type Responses)

1. Name and Address of Reporting Person *
BRODY MARK S

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)
12/21/2018

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

**C/O UNITY BANK, 64 OLD
HIGHWAY 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 Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(D)	Price
Restricted Stock					3,490 ⁽¹⁾	D	
Common Stock					79,464 ⁽²⁾	D	
Common Stock					40,102	I	Financial Planning Analysts
Common Stock					270,102 ⁽³⁾	I	Financial Planning Analysts

Dispositive
Shares ⁽³⁾

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
Stock Options	\$ 18.25	12/21/2018		A	3,000 <u>(4)</u>	12/21/2019 12/21/2028	Common Stock	3,000

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BRODY MARK S C/O UNITY BANK 64 OLD HIGHWAY 22 CLINTON, NJ 08809		X		

Signatures

Dr. Mark Brody, 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 restricted shares are held in an account at Computershare, which have upcoming vesting dates.

(2) A total of 79,464 shares are beneficially owned by Dr. Brody; 48,400 are held jointly with his spouse; 12,705 are held in street name; 18,239 are held in an account at Shareworks; and 120 are held in an account at Computershare.

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- (3) Shares held in a master account of Financial Planning Analysts over which Dr. Brody has no voting authority, but has dispositive power.
- (4) 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.
- (5) 12,200 stock options were granted under various dates and vesting periods of which 3,467 are currently exercisable.

Remarks:

Total Beneficial Ownership: 396,625

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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