

Smith Michael S
 Form 4
 February 26, 2019

FORM 4

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person *
 Smith Michael S

(Last) (First) (Middle)
 230 PARK AVENUE
 (Street)

NEW YORK, NY 10169
 (City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
 Voya Financial, Inc. [VOYA]

3. Date of Earliest Transaction
 (Month/Day/Year)
 02/22/2019

4. If Amendment, Date Original Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

___ Director ___ 10% Owner
 ___X___ Officer (give title below) ___ Other (specify below)

See Remarks

6. Individual or Joint/Group Filing(Check Applicable Line)
 ___X___ 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

3 SEC USE ONLY

4 CITIZENSHIP OR PLACE OF ORGANIZATION

United States

5 SOLE VOTING POWER

NUMBER OF 142,555.92

SHARE SHARED VOTING POWER

6

BENEFICIALLY

OWNED BY

0

EACH
REPORTING
PERSON

7

SOLE DISPOSITIVE POWER

142,555.92

WITH

8

SHARED DISPOSITIVE POWER

0

9

AGGREGATE AMOUNT BENEFICIALLY OWNED BY
EACH REPORTING PERSON

142,555.92

10

CHECK IF THE AGGREGATE AMOUNT IN ROW
(9) EXCLUDES CERTAIN SHARES

o

11

PERCENT OF CLASS REPRESENTED BY AMOUNT IN
ROW (9)

3.3%

12

TYPE OF REPORTING PERSON

OO*

* Estate of an individual, Donald L. Campbell, who died March 24, 2009.

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Item 1(a) Name of Issuer: Hawthorn Bancshares, Inc.

Item 1(b) Address of Issuer's Principal Executive Offices: 300 Southwest Longview Boulevard, Lees Summit, Missouri 64081

Item 2(a) Name of Person Filing: Estate of Donald L. Campbell (successor to Donald L. Campbell, who died March 24, 2009)

Item 2(b) Address of Principal Business Office or, if none, Residence: 601 Eagle Trace, Jefferson City, Missouri 65101

Item 2(c) Citizenship: United States

Item 2(d) Title of Class of Securities: Common stock, par value \$1.00 per share

Item 2(e) CUSIP Number: 420476 10 3

Item 3. If this statement is filed pursuant to §§ 240.13d-1(b) or 240.13d-2(b) or (c), check whether the person filing is a:

- (a) Broker or dealer registered under section 15 of the Act (15 U.S.C. 78o);
- (b) Bank as defined in section 3(a)(6) of the Act (15 U.S.C. 78c);
- (c) Insurance company as defined in section 3(a)(19) of the Act (15 U.S.C. 78c);
- (d) Investment company registered under section 8 of the Investment Company Act of 1940 (15 U.S.C. 80a-8);
- (e) An investment adviser in accordance with § 240.13d-1(b)(1)(ii)(E);
- (f) An employee benefit plan or endowment fund in accordance with § 240.13d-1(b)(1)(ii)(F);
- (g) A parent holding company or control person in accordance with § 240.13d-1(b)(1)(ii)(G);
- (h) A savings associations as defined in Section 3(b) of the Federal Deposit Insurance Act (12 U.S.C. 1813);
- (i) A church plan that is excluded from the definition of an investment company under section 3(c)(14) of the Investment Company Act of 1940 (15 U.S.C. 80a-3);
- (j) A non-U.S. institution in accordance with §240.13d-1(b)(1)(ii)(J);
- (k) Group, in accordance with § 240.13d-1(b)(1)(ii)(K).

If filing as a non-U.S. institution in accordance with §240.13d-1(b)(1)(ii)(J), please specify the type of institution:

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Item 4. Ownership

(a) Amount beneficially owned: 142,555.92

The Estate of Donald L. Campbell (successor to Donald L. Campbell, who died March 24, 2009) may be deemed the beneficial owner of (i) 100,507.68 shares owned of record by Donald L. Campbell's non-marital trust dated 9/27/97, and (ii) 42,048.24 shares held in the Virginia L. Campbell Revocable Living Trust. In her capacity as trustee, Virginia L. Campbell has sole voting and investment power over all 142,555.92 shares being reported.

(b) Percent of class: 3.3%

(c) Number of shares as to which the person has:

(i) sole power to vote or to direct the vote: 142,555.92

(ii) shared power to vote or to direct the vote: 0

(iii) sole power to dispose or to direct the disposition of: 142,555.92

(iv) shared power to dispose or to direct the disposition of: 0

Item 5. Ownership of Five Percent or Less of a Class

If this statement is being filed to report the fact that as of the date hereof the reporting person has ceased to be the beneficial owner of more than five percent of the class of securities, check the following.

Item 6. Ownership of More than Five Percent on Behalf of Another Person

Not applicable.

Item 7. Identification and Classification of the Subsidiary Which Acquired the Security Being Reported on By the Parent Holding Company or Control Person

Not applicable.

Item 8. Identification and Classification of Members of the Group

Not applicable.

Item 9. Notice of Dissolution of Group

Not applicable.

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Item 10. Certifications

By signing below I certify that, to the best of my knowledge and belief, the securities referred to above were not acquired and are not held for the purpose of or with the effect of changing or influencing the control of the issuer of the securities and were not acquired and are not held in connection with or as a participant in any transaction having that purpose or effect.

SIGNATURES

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

Dated: February 10, 2010

ESTATE OF DONALD L. CAMPBELL

By: /s/ Virginia L. Campbell

Name:

Virginia L. Campbell, Trustee