#### **BROOKS DAVID H**

Form 4

November 05, 2004

## FORM 4

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

**OMB** 3235-0287 Number:

Estimated average

burden hours per

Check this box if no longer subject to Section 16.

### STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES**

January 31, Expires: 2005

0.5

**OMB APPROVAL** 

Form 4 or Form 5 obligations may continue.

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

response...

See Instruction 1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading **BROOKS DAVID H** Issuer Symbol S Y BANCORP INC [SYI] (Check all applicable) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) \_X\_\_ Director 10% Owner X\_ Officer (give title Other (specify 4010 FOX MEADOW WAY 11/04/2004 below) Chairman & CEO (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) \_X\_ Form filed by One Reporting Person Form filed by More than One Reporting PROSPECT, KY 40059 Person

| (City)                               | (State)                                 | (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned |   |        |                  |   |  |  |  |
|--------------------------------------|---|--|---|--------|------------------|---|--|--|--|
| 1.Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year)                            | 3. 4. Securities Acquired Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8) |        |                  | Securities Ownership Beneficially Form: |  | 7. Nature of<br>Indirect Beneficial<br>Ownership<br>(Instr. 4) |  |
|                                      |   |  | Code V  | Amount | (A)<br>or<br>(D) | Price                                   | Reported<br>Transaction(s)<br>(Instr. 3 and 4) | (I)<br>(Instr. 4)  |  |
| Common<br>Stock                      | 11/04/2004                              |  | S   | 1,000  | D                | \$<br>22.61                             | 51,210   | D  |  |
| Common<br>Stock                      | 11/04/2004                              |  | S   | 1,700  | D                | \$<br>22.75                             | 49,510   | D  |  |
| Common<br>Stock                      | 11/04/2004                              |  | S   | 500    | D                | \$<br>22.82                             | 49,010   | D  |  |
| Common<br>Stock                      | 11/04/2004                              |  | S   | 1,000  | D                | \$<br>22.51                             | 48,010   | D  |  |
| Common<br>Stock                      | 11/04/2004                              |  | S   | 500    | D                | \$ 22.7                                 | 47,510   | D  |  |

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| Common<br>Stock   | 11/04/2004 | S | 400 | D | \$<br>22.81 | 47,110      | D |  |  |
|---|------------|---|-----|---|-------------|-------------|---|--|--|
| Common<br>Stock   | 11/04/2004 | S | 100 | D | \$<br>22.74 | 47,010      | D |  |  |
| Common<br>Stock   | 11/04/2004 | S | 600 | D | \$ 22.8     | 46,410      | D |  |  |
| Common<br>Stock   |            |   |     |   |             | 3,554.45    | I | by 401k-fbo<br>David Brooks              |  |
| Common<br>Stock   |            |   |     |   |             | 45,656      | I | By Spouse                                |  |
| Common<br>Stock   |            |   |     |   |             | 1,078.485   | I | Trust-Directors<br>Deferred Comp<br>Plan |  |
| Common<br>Stock   |            |   |     |   |             | 15,162.2457 | I | By ESOP-fbo<br>David Brooks              |  |
| Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. |            |   |     |   |             |             |   |  |  |

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.

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transacti<br>Code<br>(Instr. 8) | 5. DenNumber 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<br>Underlying Securities<br>(Instr. 3 and 4) |                                     | 8. Pri<br>Deriv<br>Secur<br>(Instr |
|---|---|--------------------------------------|---|---------------------------------------|--|--|--------------------|---|-------------------------------------|------------------------------------|
|   |   |                                      |   | Code V                                | (A) (D)  | Date<br>Exercisable                                      | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of Shares |                                    |
| Option<br>(Right to<br>Buy)                         | \$ 0.4308   |                                      |   |                                       |  | 07/01/1984   | 01/01/2014         | Common<br>Stock   | 4,000                               |                                    |
| Option<br>(Right to<br>Buy)                         | \$ 10.315   |                                      |   |                                       |  | 06/21/2001   | 12/21/2010         | Common<br>Stock   | 5,200                               |                                    |
| Option<br>(Right to                                 | \$ 16.8   |                                      |   |                                       |  | 06/27/2002   | 12/27/2011         | Common<br>Stock   | 24,000                              |                                    |

SEC 1474

(9-02)

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Buy)

Option Common 06/17/2003 12/17/2012 (Right to \$ 19.55 18,600 Stock

Buy)

Option

Common 06/16/2004 12/16/2013 16,700 (Right to \$ 21.18 Stock

Relationships

Buy)

## **Reporting Owners**

| Reporting Owner Name / Address | ·        |           |         |       |  |  |  |  |  |
|--------------------------------|----------|-----------|---------|-------|--|--|--|--|--|
|                                | Director | 10% Owner | Officer | Other |  |  |  |  |  |
| BROOKS DAVID H                 |          |           |         |       |  |  |  |  |  |

4010 FOX MEADOW WAY X Chairman & CEO

PROSPECT, KY 40059

# **Signatures**

//David H. 11/05/2004 **Brooks** 

\*\*Signature of Date Reporting Person

# **Explanation of Responses:**

If the form is filed by more than one reporting person, see Instruction 4(b)(v).

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.

Reporting Owners 3

Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).