KAUCHAK JOHN J

Form 4

February 01, 2018

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

OMB

Expires:

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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

may continue. 30(h) of the Investment Company Act of 1940 See Instruction

1(b).

Restricted

Stock

(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 KAUCHAK JOHN J Issuer Symbol UNITY BANCORP INC /NJ/ (Check all applicable) [UNTY] (Last) (First) (Middle) 3. Date of Earliest Transaction Director 10% Owner X_ Officer (give title Other (specify (Month/Day/Year) below) below) UNITY BANK, 64 OLD 01/30/2018 EVP/COO HIGHWAY 22 (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 **CLINTON, NJ 08809** (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 5. Amount of 6. Ownership 7. Nature of 1.Title of 2. Transaction Date 2A. Deemed 3. 4. Securities Security (Month/Day/Year) Execution Date, if TransactionAcquired (A) or Securities Form: Direct Indirect (Instr. 3) Code Disposed of (D) Beneficially (D) or Beneficial (Instr. 3, 4 and 5) Ownership (Month/Day/Year) (Instr. 8) Owned Indirect (I) (Instr. 4) Following (Instr. 4) Reported (A) Transaction(s) (Instr. 3 and 4) Code V Amount (D) Price Common 47,959 (1) D Stock

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

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D

 $8,300^{(2)}$

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

Derivative Security (Instr. 3)	Conversion or Exercise Price of Derivative Security	(Month/Day/Year)	Code	Securities	Date Exercisable Date (Month/Day/Year)	•	Underlying S (Instr. 3 and 4	Securitie
			Code V	ŕ	Date Exercisable	Expiration Date	Title	Amour or Number of Shares
Stock Options	\$ 7	01/30/2018	M	8,085 (3)	02/28/2009(4)	02/28/2018(4)	Common Stock	8,08

6 Date Evergisable and Evniration 7 Title and Amount

Reporting Owners

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

KAUCHAK JOHN J UNITY BANK 64 OLD HIGHWAY 22 CLINTON, NJ 08809

EVP/COO

Signatures

John J. Kauchak, POA Laurie Cook, Controller/SVP

01/31/2018

**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) 47,959 shares are held in Mr. Kauchak's acct. at Computershare.
- (2) 8,300 shares are held in an acct. at Computershare, which have upcoming vesting dates.
- (3) Mr. Kauchak exercised 8,085 stock options at \$7.00 per share, and sold at \$20.16 per share.
- (4) 8,085 stock options were granted on 2/28/08, which vested one-third per year commencing 2/28/09; 2/28/10 and 2/28/11 and expire on 2/28/18.
- (5) 84,800 stock options were granted of which 63,800 are currently exercisable.

Remarks:

Total Amount of Beneficial Securities Owned: 120.059.

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.

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