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HAWTHORN BANCSHARES, INC. Form 5 Fe F

February 03,	2017										
FORM	5							OMB	APPROVA	۹L	
Check this no longer s	UNITED box if ubject	S SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 CATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES					OMB Number: Expires:	3235 Janua			
to Section 1 Form 4 or I 5 obligation may contin	Form ANN ns ue.						Estimated average burden hours per response 1				
See Instruct 1(b). Form 3 Hol Reported Form 4 Transactior Reported	Filed pur Idings Section 17(a) of the I	Public U		ng Compa	ny Act of		on			
1. Name and Address of Reporting Person <u>*</u> SMITH JAMES E/MO			2. Issuer Name and Ticker or Trading Symbol HAWTHORN BANCSHARES, INC. [HWBK]				5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
(Last) (First) (Middle)			3. Statement for Issuer's Fiscal Year Ended (Month/Day/Year) 12/31/2016			Director Officer (give below))% Owner ther (specify	r		
	HORN BANCSI EAST HIGH ST 3		12/31/2	.010							
(Street)			4. If Amendment, Date Original Filed(Month/Day/Year)				6. Individual or Joint/Group Reporting (check applicable line)				
JEFFERSON	N CITY, MOÂ	65102					_X_ Form Filed by Form Filed by Person				
(City)	(State)	(Zip)	Tab	le I - Non-Der	ivative Secu	urities Acqu	uired, Disposed o	f, or Benefici	ially Owne	d	
	2. Transaction Date (Month/Day/Year)	2A. Deem Execution any (Month/Da	Date, if	3. Transaction Code (Instr. 8)		A) or of (D)	5. Amount of Securities Beneficially Owned at end of Issuer's Fiscal Year (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature Indirect Beneficia Ownershi (Instr. 4)	ıl	

				Amount	(D)	Price			
Common Stock	Â	Â	Â	Â	Â	Â	36,953.198 (1)	D	Â
Common Stock	Â	Â	Â	Â	Â	Â	339	Ι	Retirement Account

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

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SEC 2270 (9-02)

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 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)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	Secur	unt of rlying	8. Price of Derivative Security (Instr. 5)	
				(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

Reporting Owners

Reporting Owner Name / Address		Relationships					
I O O O O O O O O O O O O O O O O O O O		Director	10% Owner	Officer	Other		
SMITH JAMES E/MO C/O HAWTHORN BANCSH 132 EAST HIGH STREET, P JEFFERSON CITY, MO 6	O BOX 688	Â	Â	Â	Â		
Signatures							
/s/ James E. 02/ Smith	/03/2017						

<u>**</u>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) Includes shares acquired since last report from the Company's July 1, 2016 4% stock dividend.

Note: File three copies of this Form, one of which must be manually signed. If space provided 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.