### Edgar Filing: Burkhead Frank E. - Form 4

Burkhead Fra	ink E.										
Form 4											
August 07, 20											
FORM		SECUD	TTIES AT		<b>TT A</b>	NCE	COMMISSION		PPROVAL		
	UNITED	SIAIES		hington,			NGE (		OMB Number:	3235-0287	
Check this if no long subject to Section 16 Form 4 or	er <b>STATEN</b>	<b>STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF</b> <b>SECURITIES</b> 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								January 31, 2005 average rs per 0.5	
Form 5 obligation may conti <i>See</i> Instru- 1(b).	s Section 17(a										
(Print or Type R	esponses)										
1. Name and Address of Reporting Person <u>*</u> Burkhead Frank E.		2. Issuer Name <b>and</b> Ticker or Trading Symbol HAWTHORN BANCSHARES,					5. Relationship of Reporting Person(s) to Issuer				
			INC. [HWBK]					(Check all applicable)			
	(First) (N HORN BANCSH AST HIGH STRI		3. Date of (Month/Da 08/03/20	-	ansaction			Director Officer (give below)		o Owner er (specify	
	(Street)	Street) 4. If Amendment, Date Original Filed(Month/Day/Year)					<ol> <li>6. Individual or Joint/Group Filing(Check Applicable Line)</li> <li>_X_ Form filed by One Reporting Person</li> </ol>				
JEFFERSON	N CITY, MO 651	02						Form filed by M Person			
(City)	(State)	(Zip)	Table	e I - Non-Do	erivative S	Securi	ities Acc	quired, Disposed of	f, or Beneficial	ly Owned	
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	Execution any		3. Transactic Code (Instr. 8)		spose	d of	5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)		
Common Stock	08/03/2018	08/03/2	2018	Code V P	Amount 329	(D) A	Price \$ 21.7	(Instr. 3 and 4) 9,308.4904 (1)	D		

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)

### **Reporting Owners**

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1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	4. Transactic Code (Instr. 8)	5. onNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)			Amou Under Secur	le and unt of rlying rities . 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secu Bene Owne Follo Repo Trans (Instr
			Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

Relationships

10% Owner Officer Other

## **Reporting Owners**

**Reporting Owner Name / Address** 

Burkhead Frank E. C/O HAWTHORN BANCSHARES INC. 132 EAST HIGH STREET PO BOX 688 JEFFERSON CITY, MO 65102

# Signatures

/s/ Frank E. 08/07/2018 Burkhead

\*\*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 pursuant to Company DRIP program and July 1, 2018 4% Stock Dividend.

Director

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.