#### THOMPSON KATHY C

Form 4 May 10, 2018

### FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

OMB

**OMB APPROVAL** 

Number:

3235-0287

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January 31, 2005

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if no longer

Check this box

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

1(b).

Common

Stock

05/08/2018

(Print or Type Responses)

See Instruction

| 1. Name and Address of Reporting Person * THOMPSON KATHY C |   |  | Issuer Name <b>and</b> Ticker or Trading bol ck Yards Bancorp, Inc. [SYBT] | 5. Relationship of Reporting Person(s) to Issuer  (Check all applicable)  |  |  |
|--|---|--|--|---|--|--|
| (Last)   | (First)                                 | (Middle) 3. Da   | ate of Earliest Transaction  | (2 )  |  |  |
| 6804 FAIRWAY VIEW CT                                       |   |  | nth/Day/Year)<br>08/2018   | X Director 10% Owner X Officer (give title Other (specify below)  |  |  |
|  | (Street)                                | 4. If  | Amendment, Date Original   | 6. Individual or Joint/Group Filing(Check   |  |  |
| PROSPECT, KY 40059   |   |  | d(Month/Day/Year)  | Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting Person  |  |  |
| (City)   | (State)                                 | (Zip)  | Table I - Non-Derivative Securities Acc                                    | quired, 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,<br>any<br>(Month/Day/Yea | Code (Instr. 3, 4 and 5)   | 5. Amount of Securities Ownership Indirect Beneficially Form: Beneficial Owned Direct (D) Ownership Following or Indirect Reported (I) Transaction(s) (Instr. 4) (Instr. 3 and 4) |  |  |
| Common<br>Stock  |   |  |  | 31,775 I KSOP-FBO Kathy Thompson  |  |  |
| Common<br>Stock  | 05/08/2018                              |  | M 10,544 A \$ 19.37  | 50,597 D  |  |  |

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

F

7,020

D

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form

D

\$ 38.4 43,577

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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<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 2 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | Code   |     |        | 6. Date Exercisable and Expiration Date (Month/Day/Year) |                    | 7. Title and Amoun Underlying Securiti (Instr. 3 and 4) |                             |
|---|---|---|---|--------|-----|--------|--|--------------------|---|-----------------------------|
|   |   |   |   | Code V | (A) | (D)    | Date<br>Exercisable                                      | Expiration<br>Date | Title   | Amor<br>or<br>Numl<br>of Sh |
| Stock<br>Appreciation<br>Right                      | \$ 19.37  | 05/08/2018                              |   | M      |     | 10,544 | 02/18/2015   | 02/18/2024         | Common<br>Stock   | 13,1                        |
| Stock<br>Appreciation<br>Right                      | \$ 22.96  |   |   |        |     |        | 03/17/2016   | 03/17/2025         | Common<br>Stock   | 9,8                         |
| Stock<br>Appreciation<br>Right                      | \$ 25.76  |   |   |        |     |        | 03/15/2017   | 03/15/2026         | Common<br>Stock   | 11,3                        |
| Stock<br>Appreciation<br>Right                      | \$ 40   |   |   |        |     |        | 03/21/2018   | 03/21/2027         | Common<br>Stock   | 5,9                         |
| Stock<br>Appreciation<br>Right                      | \$ 35.9   |   |   |        |     |        | 02/20/2019   | 02/20/2028         | Common<br>Stock   | 5,7                         |

# **Reporting Owners**

| Reporting Owner Name / Address                                 | Relationships |           |                              |       |  |
|--|---------------|-----------|------------------------------|-------|--|
| <b>FB</b>  | Director      | 10% Owner | Officer                      | Other |  |
| THOMPSON KATHY C<br>6804 FAIRWAY VIEW CT<br>PROSPECT, KY 40059 | X             |           | Sr. Executive Vice President |       |  |

## **Signatures**

| /s/ Kathy C. Thompson           | 05/10/201 |  |
|---------------------------------|-----------|--|
| **Signature of Reporting Person | Date      |  |

Reporting Owners 2

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## **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).

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.