

BRODY MARK S
Form 4
January 04, 2019

FORM 4

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

OMB APPROVAL

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Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

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

(Print or Type Responses)

1. Name and Address of Reporting Person *
BRODY MARK S

2. Issuer Name and Ticker or Trading Symbol
UNITY BANCORP INC /NJ/
[UNTY]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

C/O UNITY BANK, 64 OLD
HIGHWAY 22

(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
01/02/2019

Director 10% Owner
 Officer (give title below) Other (specify below)

CLINTON, NJ 08809

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 Form filed by More than One Reporting Person

(City) (State) (Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| Restricted Stock | 01/02/2019 | | A | V Amount (1) A | \$ 3,155 (2) 20.76 | D | |
| Common Stock | | | | | 80,699 (3) | D | |
| Common Stock | | | | | 40,102 | I | Financial Planning Analysts |
| Common Stock | | | | | 270,102 (4) | I | Financial Planning Analysts |

Dispositive
Shares ⁽⁴⁾

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

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(9-02)

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) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transaction Code (Instr. 8) | 5. Number 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 Underlying Securities (Instr. 3 and 4) | 8. Price of Derivative Security (Instr. 5) | |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|----------------------------|
| | | | | | | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| | | | | | | Code | V (A) (D) | | |
| Stock Options | ⁽⁵⁾ | | | | | ⁽⁵⁾ | ⁽⁵⁾ | Common Stock | ⁽⁵⁾ |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| BRODY MARK S C/O UNITY BANK 64 OLD HIGHWAY 22 CLINTON, NJ 08809 | | X | | |

Signatures

Dr. Mark Brody, POA Laurie Cook,
Controller/VP

01/04/2019

**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) 900 restricted shares were granted on 1/2/19 from the 2013 Stock Bonus Plan and vest over four years; vesting commences with 225 shares on 1/2/20, 225 shares on 1/2/21, 225 shares on 1/2/22, and 225 shares on 1/2/23.

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- (2) 3,155 restricted shares are held in an account at Computershare, which have upcoming vesting dates.
- (3) A total of 80,699 shares are beneficially owned by Dr. Brody; 48,400 are held jointly with his spouse; 12,705 are held in street name; 19,474 are held in an account at Shareworks; and 120 are held in an account at Computershare.
- (4) Shares held in a master account of Financial Planning Analysts over which Dr. Brody has no voting authority, but has dispositive power.
- (5) 12,200 stock options were granted under various dates and vesting periods of which 5,067 are currently exercisable.

Remarks:

Total Beneficial Ownership: 399,125

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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