BRODY MARK S Form 4

July 25, 2018

FORM 4

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

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**

(Middle) (Last) (First)

C/O UNITY BANK, 64 OLD HIGHWAY 22

CLINTON, NJ 08809

2. Issuer Name and Ticker or Trading

Symbol

UNITY BANCORP INC /NJ/ [UNTY]

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

07/24/2018

(Street) 4. If Amendment, Date Original

Filed(Month/Day/Year)

X Form filed by One Reporting Person Form filed by More than One Reporting

Applicable Line)

X_ Director

Officer (give title

OMB APPROVAL

Estimated average

burden hours per

3235-0287

January 31,

2005

0.5

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Number:

Expires:

response...

5. Relationship of Reporting Person(s) to

6. Individual or Joint/Group Filing(Check

(Check all applicable)

10% Owner

Other (specify

Issuer

below)

(City)	(State)	(Zip)	Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owner
(City)	(State)	(2.P)	Table 1 - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

		Tubic 1 Troit Detritutive Securities required, Disposed on, or Beneficiany Owned							
1.Title of		. Transaction Date 2A. Deemed 3. 4. Securities Month/Day/Year) Execution Date, if TransactionAcquired (A) of				5. Amount of	6.	7. Nature of	
Security	(Month/Day/Year)	Execution Date, if		•	` ′	Securities	Ownership	Indirect	
(Instr. 3)		any	Code	Disposed	` ′	Beneficially	Form: Direct		
		(Month/Day/Year)	(Instr. 8)	(Instr. 3, 4 and 5)		Owned	(D) or	Ownership	
						Following	Indirect (I)	(Instr. 4)	
					(4)	Reported	(Instr. 4)		
					(A)	Transaction(s)			
			C = V		or or	(Instr. 3 and 4)			
			Code V	Amount	(D) Pric	2			
Restricted						3,490 (1)	D		
Stock						3,490 <u>(~)</u>	D		
Common						70.464(2)	Ъ		
Stock						$79,464 \frac{(2)}{2}$	D		
Stock									
~								Financial	
Common						40,102	I	Planning	
Stock						70,102	1	_	
								Analysts	
Common						261,669 ⁽³⁾	I	Financial	
Common						201,009 (3)	1		
Stock								Planning	

Analysts

Dispositive Shares (3)

(9-02)

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

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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)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transactic Code (Instr. 8)	5. Number ction Derivative Securities 3) Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		vative Expiration Date les (Month/Day/Year) ed		7. Title and Amount of Underlying Securities (Instr. 3 and 4)	
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Options	\$ 3.46	07/24/2018		M		1,539 (4)	12/18/2009	12/18/2018	Common Stock	1,539
Stock Options	\$ 3.46	07/25/2018		M		661	12/18/2009	12/18/2018	Common Stock	661

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 Alan Bedner, 07/25/2018 CFO/EVP

> **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).

Reporting Owners 2

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- (1) 3,490 restricted shares are held in an account at Computershare, which have upcoming vesting dates.
- (2) A total of 79,464 shares are beneficially owned by Dr. Brody; 48,400 are held jointly with his spouse; 12,705 are held in street name; and 18,359 are held in an account at Computershare.
- (3) Shares held in a master account of Financial Planning Analysts over which Dr. Brody has no voting authority, but has dispositive power.
- (4) Dr. Brody exercised 1,539 stock options at \$3.46 per share, and sold at \$25.24 per share.
- (5) Dr. Brody exercised 661 stock options at \$3.46 per share, and sold at \$25.35 per share.
- (6) 11,400 stock options were granted of which 5,667 are currently exercisable.

Remarks:

Total Beneficial Ownership: 390,392

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.