

UNITY BANCORP INC /NJ/
Form 4
January 06, 2015

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

OMB APPROVAL

OMB
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(Print or Type Responses)

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

(Last) (First) (Middle)

**C/O UNITY BANK, 64 OLD
HIGHWAY 22**

(Street)

CLINTON, NJ 08809

(City) (State) (Zip)

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

3. Date of Earliest Transaction
(Month/Day/Year)
01/02/2015

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

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

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

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	01/02/2015		A	2,400 (1)	A 9.32 (2)	71,399 (3) (4)	D
Common Stock					36,457	I	Financial Planning Analysts
Common Stock					662,725	I	Dispositive Shares by Financial Planning Analysts (5)

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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)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Options	(6)					(6)	(6)	Common Stock	14,956

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 Linda B.
McDermott 01/06/2015

__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) 2,400 Restricted shares were granted on 1/2/15 from the 2013 Stock Bonus Plan; vesting commences with 600 shares on 1/2/16; 600 shares on 1/2/17; 600 shares on 1/2/18; and 600 shares on 1/2/19.
- (2) Stock price at the close of business on 1/2/15.
- (3) 13,459 shares of total beneficially owned shares are Restricted Stock subject to four-year vesting periods determined by the individual grant dates.

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- (4) 44,000 shares are jointly owned with spouse.
- (5) Shares held in the master account of Financial Planning Analysts over which Dr. Brody has no voting authority, but has dispositive power.
- (6) The following options are from the 2006 Stock Option Plan: 2,756 options granted on 1/25/07 @ \$12.62 expire 1/25/17; 4,200 options granted on 12/20/07 @ \$7.10 expire 12/20/17; 8,000 options granted on 12/18/08 @ \$3.80 expire 12/18/18.

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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