

TUCKER ALLEN  
Form 4  
January 04, 2018

**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 \*  
TUCKER ALLEN

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 UNITYBANK CORP, 64 OLD  
HWY 22

3. Date of Earliest Transaction  
(Month/Day/Year)  
01/02/2018

Director  10% Owner  
 Officer (give title below)  Other (specify below)  
Vice Chairman of the Board

(Street)  
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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
|                                 |                                      |  | Code                           | V Amount (A) or (D) Price   |   |  |   |
| Restricted Stock                | 01/02/2018                           |  | A                              | 900 <sup>(1)</sup> A 19.75 <sub>(2)</sub>                         | 4,383 <sup>(3)</sup>  | D  |   |
| Common Stock                    |                                      |  |                                |   | 347,468 <sup>(4)</sup>  | D  |   |
| Common Stock                    |                                      |  |                                |   | 63,497 <sup>(5)</sup>   | I  | Spouse  |

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

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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. 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. Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|-------------------------------|
| Stock Options                              | \$ 19.75   | 01/02/2018                           |  | A                              | 3,200<br>(6)  | 01/02/2019 01/02/2028                                    | Common Stock  | 3,200                         |

## Reporting Owners

| Reporting Owner Name / Address   | Relationships |           |         |                            |
|--|---------------|-----------|---------|----------------------------|
|  | Director      | 10% Owner | Officer | Other                      |
| TUCKER ALLEN<br>C/O UNITYBANK CORP<br>64 OLD HWY 22<br>CLINTON, NJ 08809 | X             |           |         | Vice Chairman of the Board |

## Signatures

Allen Tucker, POA Laurie Cook,  
Controller/SVP  
01/04/2018

\_\_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 1/2/18 from the 2013 Stock Bonus Plan and vest over four years; vesting commences with 225 shares on 1/2/19; 225 shares on 1/2/20; 225 shares on 1/2/21; and 225 shares on 1/2/22.
- (2) Stock price at the close of business on 12/29/17.
- (3) 3,930 restricted stock shares are currently held in an account at Computershare, which have upcoming vesting dates; 453 shares are dividend reinvested shares for a total of 4,383.
- (4) 240,888 shares are held in a brokerage account; 106,580 shares are held in a Trust account at Computershare for a total of 347,468.
- (5) 12,403 shares are held in an account in Charlotte Tucker's name; 3,029 are held in a trust account; and 48,065 are held in a brokerage account for a total of 63,497.

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- (6) 3,200 stock options were granted on 1/2/18, which vest 1/3 per year; i.e., 1,067 on 1/2/19; 1,066 on 1/2/20; and 1,067 on 1/2/21.
- (7) 18,000 stock options were granted under various dates and vesting periods of which 10,801 are currently exercisable.

**Remarks:**

Total Beneficial Ownership: 426,149

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.