

TRAGER STEVE
Form 5
February 14, 2019

FORM 5

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

OMB APPROVAL

OMB Number: 3235-0362
Expires: January 31, 2005
Estimated average burden hours per response... 1.0

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).
Form 3 Holdings Reported Form 4 Transactions Reported

ANNUAL 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

1. Name and Address of Reporting Person *
TRAGER STEVE

2. Issuer Name and Ticker or Trading Symbol
REPUBLIC BANCORP INC /KY/ [RBCAA]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Statement for Issuer's Fiscal Year Ended (Month/Day/Year)
12/31/2018

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

Chairman and CEO

601 WEST MARKET STREET

(Street)

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

6. Individual or Joint/Group Reporting

(check applicable line)

LOUISVILLE, KY 40202

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) | (A) or (D) | Amount or Price | 5. Amount of Securities Beneficially Owned at end of Issuer's Fiscal Year (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|------------|-----------------|--|--|---|
| Class A Common Stock | | | | | | | 81,276 | D | |
| Class A Common Stock | | | | | | | 482,753.998 | I | By Jaytee Properties Limited Partnership |
| | 12/10/2018 | | G | 0 | (3) (5) D | \$ 0 | | I | (1) |

Edgar Filing: TRAGER STEVE - Form 5

| | | | | | | | | | |
|----------------------------|------------|---|---|------------------|---|------|---------------------------------|---|--|
| Class A Common Stock | | | | | | | 5,728,203.913 <u>(3) (5)</u> | | By Teebank Family Limited Partnership <u>(2)</u> |
| Class A Common Stock | 12/10/2018 | Â | G | 0 <u>(4) (5)</u> | D | \$ 0 | 5,728,203.913 <u>(4) (5)</u> | I | By Teebank Family Limited Partnership <u>(2)</u> |
| Class A Common Stock | Â | Â | Â | Â | Â | Â | 225 | I | By Trager Marital Trust |
| Class A Common Stock | Â | Â | Â | Â | Â | Â | 7,478 | I | By Spouse <u>(6)</u> |
| Class A Common Stock | Â | Â | Â | Â | Â | Â | 12,085 | I | By 401(k) Plan |

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 required to respond unless the form displays a currently valid OMB control number.

SEC 2270
(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) | | | |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--------------|----------------------------|-------------|
| | | | | | (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | |
| Class B Common Stock | Â | Â | Â | Â | Â | Â | Â <u>(8)</u> | Â <u>(9)</u> | Class A Common Stock | 17,014 |
| Class B Common Stock | Â | Â | Â | Â | Â | Â | Â <u>(8)</u> | Â <u>(9)</u> | Class A Common Stock | 108,169.715 |

| | | | | | | | | |
|----------------------------|------------|--|---|-----------------|-----|-----|----------------------------|-----------|
| Class B Common Stock | 12/10/2018 | | G | 0 (3) (5) | (8) | (9) | Class A Common Stock | 0 (3) (5) |
| Class B Common Stock | 12/10/2018 | | G | 0 (4) (5) | (8) | (9) | Class A Common Stock | 0 (4) (5) |
| Class B Common Stock | | | | | (8) | (9) | Class A Common Stock | 671,583 |
| Class B Common Stock | | | | | (8) | (9) | Class A Common Stock | 1,214.5 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|------------------|-------|
| | Director | 10% Owner | Officer | Other |
| TRAGER STEVE 601 WEST MARKET STREET LOUISVILLE, KY 40202 | X | X | Chairman and CEO | |

Signatures

/s/ Steven E. Trager 02/14/2019

**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) Jaytee Properties Limited Partnership ("Jaytee") is a family limited partnership. A trust ("GP Trust 1") in which the Reporting Person is a trustee is a co-General Partner of Jaytee. A trust ("GP Trust 2") in which the Reporting Person and his mother are co-trustees is the other co-General Partner of Jaytee. The Reporting Person is also the trustee of multiple trusts (the "LP Trusts") for the benefit of the Reporting Person and certain of the Reporting Person's immediate family members. The LP Trusts are limited partners of Jaytee. The Reporting Person disclaims beneficial ownership of the reported securities except to the extent of his pecuniary interest therein.

(2) Teebank Family Limited Partnership ("Teebank") is a family limited partnership. GP Trust 1 and GP Trust 2 are co-General Partners of Teebank. The LP Trusts are limited partners of Teebank. The Reporting Person disclaims beneficial ownership of the reported securities except to the extent of his pecuniary interest therein.

(3) The Reporting Person is the trustee and beneficiary of an LP Trust ("LP Trust 1"). Effective 12/10/2018, LP Trust 1 gifted \$12.8 million in Teebank interests to another LP Trust ("LP Trust 2"), the co-trustee of which is the Reporting Person's spouse and the beneficiaries of which are the Reporting Person's spouse and two children. The Reporting Person will continue to report the shares underlying the Teebank interests held in LP Trust 2.

(4) The Reporting Person is also the trustee of an LP Trust in which the Reporting Person's sister is the beneficiary ("LP Trust 3"). Effective 12/10/2018, LP Trust 3 gifted \$6 million worth of Teebank interests to the Reporting Person's sister.

Edgar Filing: TRAGER STEVE - Form 5

- The amounts of securities disclosed in Table I, Column 5 and Table II, Column 9 are the amounts beneficially owned before the transaction which is the subject of this report. As of the reporting date, Teebank has engaged a valuation firm to conduct an appraisal of its limited partnership interests. Upon receipt of the appraisal, the Reporting Person expects to file an amendment to this report to update the amounts of securities disclosed in Table I, Column 5 and Table II, Column 9, and to disclose the number of issuer securities that underlie the Teebank interests that were gifted to the LP Trusts and to the Reporting Person's sister. The Reporting Person will continue to report the shares underlying the Teebank interests held in Trust 2.
- (5) The Reporting Person disclaims beneficial ownership of these securities and the report shall not be deemed an admission that the Reporting Person is the beneficial owner of such securities.
 - (6) Class B Common Stock is immediately convertible into Class A Common Stock on a one share for one share basis.
 - (8) Immediate.
 - (9) None.

Note: File three copies of this Form, one of which must be manually signed. If space provided 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.