

UNITY BANCORP INC /NJ/

Form 4/A

September 03, 2014

**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  
Number: 3235-0287  
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2015  
Estimated average  
burden hours per  
response... 0.5

(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)  
**09/02/2014**

4. If Amendment, Date Original  
Filed(Month/Day/Year)  
**09/02/2014**

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<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3.<br>Transaction<br>Code<br>(Instr. 8) | 4. Securities<br>Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6.<br>Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4)                 |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|-----------------------------------------|----------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------|-----------------------------------------------------------------------------------|
| Common<br>Stock                       | 09/02/2014                              |                                                             | P                                       | 3,458 A                                                                    | \$<br>8.3 68,999 <sup>(1)</sup>                                                                                    | D                                                                       |                                                                                   |
| Common<br>Stock                       |                                         |                                                             |                                         |                                                                            | 36,457                                                                                                             | I                                                                       | Financial<br>Planning<br>Analysts                                                 |
| Common<br>Stock                       |                                         |                                                             |                                         |                                                                            | 662,725 <sup>(2)</sup>                                                                                             | I                                                                       | Dispositive<br>Shares held<br>at Financial<br>Planning<br>Analysts <sup>(2)</sup> |

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

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SEC 1474  
(9-02)

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
(e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2. Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4. Transaction<br>Code<br>(Instr. 8) | 5. Number<br>of<br>Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3,<br>4, and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                    | 7. Title and Amount of<br>Underlying Securities<br>(Instr. 3 and 4) | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) |
|-----------------------------------------------------|--------------------------------------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|--------------------|---------------------------------------------------------------------|-----------------------------------------------------|
|                                                     |                                                                    |                                         |                                                             | Code                                 | V (A) (D)                                                                                                          | Date<br>Exercisable                                            | Expiration<br>Date | Title                                                               | Amount<br>or<br>Number<br>of Shares                 |
| Stock<br>Options                                    | (3)                                                                |                                         |                                                             |                                      |                                                                                                                    | (3)                                                            | (3)                | Common<br>Stock                                                     | 19,819                                              |

## Reporting Owners

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

## Signatures

Mark S. Brody, poa Linda B.  
McDermott

09/03/2014

\*\*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) 42,813 shares held jointly with spouse at R & T; 10,500 shares held in an SEP-IRA acct.; 1,169 shares held at R & T; 11,059 restricted shares held at R & T; and 3,458 shares purchased through the Rights offering for a total of 68,999 shares.
- (2) Shares are dispositive shares over which Dr. Brody has no voting authority, but has dispositive power.
- (3) Total vested stock options: 4,863 at \$9.83 expire 11/18/14; 2,756 at \$12.62 expire 1/25/17; 4,200 at \$7.10 expire 12/20/17; 8,000 at \$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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