

Tucker Aaron
Form 4
January 04, 2018

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

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 Aaron

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 UNITY BANK, 64 OLD
HIGHWAY 22

(Street)

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

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

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 | 750 ⁽¹⁾ A 19.75 ₍₂₎ | 3,630 ⁽³⁾ | D | |
| Common Stock | | | | | 30,244 ⁽⁴⁾ | D | |

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

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SEC 1474 (9-02)

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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 <u>(5)</u> | 01/02/2019 01/02/2028 | Common Stock | 3,200 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| Tucker Aaron C/O UNITY BANK 64 OLD HIGHWAY 22 CLINTON, NJ 08809 | | X | | |

Signatures

Aaron 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) 750 restricted shares were granted on 1/2/18 from the 2013 Stock Bonus Plan and vest over four years; vesting commences with 187 shares on 1/2/19; 188 shares on 1/2/20; 187 shares on 1/2/21; and 188 shares on 1/2/22.
 - (2) Stock price at the close of business on 12/29/17.
 - (3) 3,630 restricted stock shares are currently held in an account at Computershare, which have upcoming vesting dates.
 - (4) 27,500 shares are held in a brokerage account; and 2,744 shares are held in an account at Computershare in Mr. Tucker's name.
 - (5) 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.
 - (6) 9,100 stock options were granted under various dates and vesting periods of which 1,967 are currently exercisable.

Remarks:

Total Beneficial Ownership: 35,841

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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