

BRODY MARK S
Form 4
December 04, 2018

FORM 4

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

OMB APPROVAL

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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 *
BRODY MARK S

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)

3. Date of Earliest Transaction
(Month/Day/Year)
11/30/2018

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

C/O UNITY BANK, 64 OLD
HIGHWAY 22

(Street)

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

CLINTON, NJ 08809

(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 Ownership (Instr. 4)
				(A) or (D) Code V Amount (D) Price			
Restricted Stock					3,490 ⁽¹⁾	D	
Common Stock					79,464 ⁽²⁾	D	
Common Stock					40,102	I	Financial Planning Analysts
Common Stock					270,102 ⁽³⁾	I	Financial Planning Analysts

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- (3) Shares held in a master account of Financial Planning Analysts over which Dr. Brody has no voting authority, but has dispositive power.
- (4) Dr. Brody exercised 2,200 stock options at \$3.46 per share, and sold at \$22.40 per share.
- (5) 9,200 stock options were granted of which 3,467 are currently exercisable.

Remarks:

Total Beneficial Ownership: 396,625

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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