

Cantrell James M
Form 3
December 15, 2017

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF 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 *

Â Cantrell James M

(Last) (First) (Middle)

102 S. CLINTON STREET,Â P.O. BOX 1700

(Street)

IOWA CITY,Â IAÂ 52244-1700

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

12/07/2017

3. Issuer Name **and** Ticker or Trading Symbol
MidWestOne Financial Group, Inc. [MOFG]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

☐ Director ☐ 10% Owner
☒ Officer ☐ Other
(give title below) (specify below)
Chief Financial Officer

5. 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

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security
(Instr. 4)

2. Amount of Securities Beneficially Owned
(Instr. 4)

3. Ownership Form:
Direct (D)
or Indirect (I)
(Instr. 5)

4. Nature of Indirect Beneficial Ownership
(Instr. 5)

Common Stock

8,963 ⁽¹⁾

D

Â

Common Stock

1,957 ⁽²⁾

I

By ESOP

Common Stock

500

I

By IRA

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

SEC 1473 (7-02)

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Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security
(Instr. 4)

2. Date Exercisable and Expiration Date
(Month/Day/Year)

3. Title and Amount of Securities Underlying

4. Conversion

5. Ownership

6. Nature of Indirect Beneficial Ownership

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Date Exercisable	Expiration Date	Derivative Security (Instr. 4) Title	Amount or Number of Shares	or Exercise Price of Derivative Security	Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	(Instr. 5)
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Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Cantrell James M 102 S. CLINTON STREET P.O. BOX 1700 IOWA CITY, IA 52244-1700	Â	Â	Â Chief Financial Officer	Â

Signatures

Kenneth R. Urmie, Corporate Secretary, under Power of Attorney for James M. Cantrell, dated December 8, 2017 12/15/2017

__Signature of Reporting Person

Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, *see* Instruction 5(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) Includes 125 restricted stock units from February 15, 2014 award, 750 restricted stock units from February 15, 2015 award, 1,125 restricted stock units from February 15, 2016 award and 1,800 restricted stock units from February 15, 2017 award. The restricted stock units vest in equal annual installments over their respective four year vesting periods.
 - (2) Shares held in the MidWestOne Financial Group, Inc. Employee Stock Ownership Plan as of December 7, 2017.

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Remarks:

On November 14, 2017, Katie A. Lorenson announced her resignation from her positions as Senior principal financial officer and principal accounting officer of MidWestOne Financial Group, Inc. (the "Company") effective on December 7, 2017.

On November 14, 2017, the Company appointed James M. Cantrell to serve as Chief Financial Officer and principal accounting officer, on an interim basis beginning December 7, 2017, while the Company continues to search for a permanent replacement.

Mr. Cantrell currently serves as Vice President, Chief Investment Officer and Treasurer of the Company. He is also Chief Investment Officer and Treasurer of MidWestOne Bank, the Company's wholly owned subsidiary. Mr. Cantrell joined the Company in 2009.

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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