

HEINTZMAN DAVID P
Form 4
June 05, 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 *
HEINTZMAN DAVID P

(Last) (First) (Middle)
3019 POPPY WAY
(Street)

LOUISVILLE, KY 40206

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
Stock Yards Bancorp, Inc. [SYBT]

3. Date of Earliest Transaction
(Month/Day/Year)
06/01/2018

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

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 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 | | | |
| Common Stock | | | | | 6,061 | I | By Spouse |
| Common Stock | | | | | 14,854 | I | By 401k/ESOP-David Heintzman |
| Common Stock | 04/12/2018 | | G | V 500 D 11 | 170,552 | D | |
| Common Stock | 06/01/2018 | | M | 26,325 A \$ 40 | 196,877 | D | |
| Common Stock | 06/01/2018 | | F | 17,358 D \$ 40 | 179,519 | D | |

Edgar Filing: HEINTZMAN DAVID P - Form 4

Common Stock 06/04/2018 S 8,967 D \$ 39.8535 170,552 D

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 1474
(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 Security (Instr. 3 and 4) | Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------------|
| Stock Appreciation Right | \$ 35.9 | | | | | 02/20/2019 02/20/2028 | Common Stock | 12,8 |
| Stock Appreciation Right | \$ 15.84 | | | | | 03/15/2012 03/15/2021 | Common Stock | 21,5 |
| Stock Appreciation Right | \$ 15.24 | | | | | 02/20/2013 02/20/2022 | Common Stock | 36,4 |
| Stock Appreciation Right | \$ 15.26 | | | | | 02/19/2014 02/19/2023 | Common Stock | 25,0 |
| Stock Appreciation Right | \$ 19.37 | | | | | 02/18/2015 02/18/2024 | Common Stock | 28,9 |
| Stock Appreciation Right | \$ 22.96 | | | | | 03/17/2016 03/17/2025 | Common Stock | 21,7 |
| Stock Appreciation Right | \$ 25.76 | | | | | 03/15/2017 03/15/2026 | Common Stock | 24,7 |
| Stock Appreciation Right | \$ 40 | | | | | 03/21/2018 03/21/2027 | Common Stock | 13,2 |

Stock

Appreciation \$ 14.02 06/01/2018 M 26,325 02/16/2011 02/16/2020 Common Stock 26,325

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|----------------|-------|
| | Director | 10% Owner | Officer | Other |
| HEINTZMAN DAVID P 3019 POPPY WAY LOUISVILLE, KY 40206 | X | | Chairman & CEO | |

Signatures

/s/ David
Heintzman 06/05/2018

__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) Gifted Shares to Charitable Organization

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