

DWIGHT CRAIG M
Form 4
November 03, 2017

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
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 *
DWIGHT CRAIG M

2. Issuer Name and Ticker or Trading Symbol
HORIZON BANCORP /IN/ [HBNC]

5. Relationship of Reporting Person(s) to Issuer
(Check all applicable)

(Last) (First) (Middle)
515 FRANKLIN SQ
(Street)

3. Date of Earliest Transaction (Month/Day/Year)
11/02/2017

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
Chief Executive Officer

MICHIGAN CITY, IN 46360

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)	
				(A) or (D)	Price			
Common Stock	11/02/2017		S	11,779	D	\$ 27.42	150,625	D
Common Stock	11/02/2017		M	11,779	A	\$ 13.49	162,404	D
Common Stock	11/02/2017		S	2,850	D	\$ 27.42	150,625	D
Common Stock	11/02/2017		M	2,850	A	\$ 14.8	153,475	D
Common Stock	11/03/2017		S	736	D	\$ 27.38	150,625	D

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Common Stock	11/03/2017	M	736	A	\$ 14.8	151,361	D	
Common Stock						92,241	I	By ESOP
Common Stock						25,403	I	By Thrift

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 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)		
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Option	\$ 13.49	11/02/2017		M	11,779	06/18/2016 ⁽¹⁾	06/18/2023	Common Stock	11,779
Employee Stock Option	\$ 14.8	11/02/2017		M	2,850	03/18/2017 ⁽²⁾	03/18/2024	Common Stock	2,850
Employee Stock Option	\$ 14.8	11/03/2017		M	736	03/18/2017 ⁽³⁾	03/18/2024	Common Stock	736

Reporting Owners

Reporting Owner Name / Address	Relationships
DWIGHT CRAIG M 515 FRANKLIN SQ MICHIGAN CITY, IN 46360	Director 10% Owner Officer Chief Executive Officer

Signatures

/s/ Craig M.
Dwight

11/03/2017

__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) The option was granted 06/18/2013 and vested in three equal installments beginning on the first anniversary of the date of the grant.

(2) The option was granted 03/18/2014 and vested in three equal installments beginning on the first anniversary of the date of the grant.

(3) The option was granted 03/18/2014 and vested in three equal installments beginning on the first anniversary of the date of the grant.

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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