McIver William J. Form 4/A October 05, 2017

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB APPROVAL** OMB 3235-0287

Number:

Expires:

5. Relationship of Reporting Person(s) to

(Check all applicable)

Issuer

January 31,

2005

0.5

Estimated average

burden hours per response...

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations

may continue.

See Instruction

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

2. Issuer Name and Ticker or Trading

BAR HARBOR BANKSHARES

30(h) of the Investment Company Act of 1940

Symbol

[BHB]

1(b).

(Print or Type Responses)

McIver William J.

1. Name and Address of Reporting Person \*

(Last) (First) (Middle) 3. Date of Earliest Transaction Director 10% Owner X\_ Officer (give title Other (specify (Month/Day/Year) below) C/O BAR HARBOR 06/06/2017 Executive Vice President BANKSHARES, P.O. BOX 400, 82 MAIN STREET (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) \_X\_ Form filed by One Reporting Person 06/06/2017 Form filed by More than One Reporting BAR HARBOR, ME 04609 (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of 2. Transaction Date 2A. Deemed 5. Amount of 7. Nature of 4. Securities Acquired (A) Security (Month/Day/Year) Execution Date, if Transaction Disposed of (D) Securities Ownership Indirect (Instr. 3) Code (Instr. 3, 4 and 5) Beneficially Form: Beneficial (Month/Day/Year) (Instr. 8) Owned Direct (D) Ownership Following or Indirect (Instr. 4) Reported (A) Transaction(s) (Instr. 4) (Instr. 3 and 4) Code V Price Amount (D) Common  $2,726^{(1)}$ D Stock Common By 401(k) 06/06/2017 4.159.48 D  $4,207.67 \frac{(1)}{2}$ Stock Plan By the Supp Exec Common 4,524 (1) I Stock Retirement

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

Plan

### Edgar Filing: McIver William J. - Form 4/A

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(9-02)

8. Price of Derivative Security (Instr. 5)

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

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transaction<br>Code<br>(Instr. 8) | 5. onNumber 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) |  |
|---|---|--------------------------------------|---|---|---|--|--------------------|---|--|
|   |   |                                      |   | Code V                                  | (A) (D)   | Date<br>Exercisable                                      | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of<br>Shares |
| Restrited<br>Stock<br>Units<br>(RSU's)              | (2)   |                                      |   |   |   | (2)  | (2)                | Common<br>Stock   | 930                                    |
| Restrited<br>Stock<br>Units<br>(RSU's)              | (3)   |                                      |   |   |   | (3)  | (3)                | Common<br>Stock   | 930                                    |
| Restrited<br>Stock<br>Units<br>(RSU's)              | <u>(4)</u>  |                                      |   |   |   | <u>(4)</u>   | <u>(4)</u>         | Common<br>Stock   | 619                                    |
| Restrited<br>Stock<br>Units<br>(RSU's)              | <u>(5)</u>  |                                      |   |   |   | <u>(5)</u>   | <u>(5)</u>         | Common<br>Stock   | 619                                    |
| Restrited<br>Stock<br>Units<br>(RSU's)              | <u>(6)</u>  |                                      |   |   |   | <u>(6)</u>   | <u>(6)</u>         | Common<br>Stock   | 309                                    |
|   | <u>(6)</u>  |                                      |   |   |   | (6)  | (6)                |   | 309                                    |

Restrited Common Stock Stock Units

(6)

(RSU's)

## **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

McIver William J. C/O BAR HARBOR BANKSHARES P.O. BOX 400, 82 MAIN STREET BAR HARBOR, ME 04609

**Executive Vice President** 

## **Signatures**

/s/ Kimberly Pruett-Ilg, as Attorney-in-Fact

10/05/2017

\*\*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) On March 21, 2017, Bar Harbor Bankshares effected a three-for-two split of its common stock (the "Stock Split"). The amount of securities reported on this Form 4 have been adjusted to reflect the Stock Split.
  - Represents a grant of Restricted Stock Units (RSUs) that will be settled in shares of the issuer's common stock on a one-for-one basis.
- (2) These RSUs will vest in three equal annual installments beginning in April 2018. At the time of vesting, sufficient shares may be withheld to cover the executive's tax liabilities. All shares delivered at each vesting are subject to an additional three year holding period.
  - Represents a grant of Restricted Stock units (RSUs) that will be settled in shares of the issuer's common stock on a one-for-one basis.
- (3) These RSUs vest in April 2020. At the time of vesting, sufficient shares may be withheld to cover the executive's tax liabilities. All shares delivered at the time of vesting are subject to an additional three year holding period.
- Represents a grant of Restricted Stock Units (RSUs) that will be settled in shares of the issuer's common stock on a one-for-one basis.
- (4) These RSUs will vest in two equal annual installments beginning in April 2018. At the time of vesting, sufficient shares may be withheld to cover the executive's tax liabilities. All shares delivered at each vesting are subject to an additional three year holding period.
  - Represents a grant of Restricted Stock units (RSUs) that will be settled in shares of the issuer's common stock on a one-for-one basis.
- (5) These RSUs vest in April 2019. At the time of vesting, sufficient shares may be withheld to cover the executive's tax liabilities. All shares delivered at the time of vesting are subject to an additional three year holding period.
  - Represents a grant of Restricted Stock Units (RSUs) that will be settled in shares of the issuer's common stock on a one-for-one basis.
- (6) These RSUs will vest in April 2018. At the time of vesting, sufficient shares may be withheld to cover the executive's tax liabilities. All shares delivered at each vesting are subject to an additional three year holding period.

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.

Reporting Owners 3