#### MUTUALFIRST FINANCIAL INC

Form 4 July 05, 2017

# FORM 4

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

OMB Number: 3235-0287

Check this box if no longer subject to Section 16.

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Expires: January 31, 2005

**OMB APPROVAL** 

Form 4 or Form 5 obligations

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

burden hours per response... 0.5

Estimated average

may continue. *See* Instruction 1(b).

(Print or Type	Responses)										
1. Name and Address of Reporting Person * BOTTS PATRICK C			27 155 Get 1 Willie Wild 11 eller of 11 dailing					5. Relationship of Reporting Person(s) to Issuer  (Check all applicable)			
	(First) (FIRST FINANCLES)	(Month/I	nth/Day/Year) -				X Director 10% Owner Other (specify below) President & COO				
	(Street) 4. If Amendment, Date Original Filed(Month/Day/Year)  E, IN 47305-2400					6. Individual or Joint/Group Filing(Check Applicable Line) _X_ 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							ly Owned			
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deem Execution any (Month/D	Date, if	3. Transaction Code (Instr. 8)	omr Dispo (Instr. 3,	sed of		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)	
Common Stock	07/03/2017			M	965	A	\$ 25.66	23,284	D		
Common Stock	07/03/2017			S(5)	31	D	\$ 35	23,253	D		
Common Stock	07/03/2017			<u>S<sup>(5)</sup></u>	934	D	\$ 35.3829	22,319	D		
Common Stock								12,363.191	I	By ESOP $\frac{(1)}{}$	
								1,360	I		

### Edgar Filing: MUTUALFIRST FINANCIAL INC - Form 4

Common Stock			By Spouse's IRA
Common Stock	200	I	By UTMA

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

Persons who respond to the collection of SEC 1474 information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

(9-02)

Dei Sec (Ins

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. Transactic Code (Instr. 8)	5. Number op 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)		8 I S (
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Stock Option (Right to Purchase)	\$ 6.93					<u>(2)</u>	12/31/2021	Common Stock	15,000	
Stock Option (Right to Purchase)	\$ 7.05					<u>(2)</u>	12/21/2025	Common Stock	40,000	
Stock Option (Right to Purchase)	\$ 14.5					<u>(3)</u>	01/12/2011	Common Stock	7,800	
Stock Option (Right to Purchase)	\$ 25.66	07/03/2017		M	965	<u>(4)</u>	12/17/2018	Common Stock	965	

# **Reporting Owners**

Relationships Reporting Owner Name / Address

Reporting Owners 2

### Edgar Filing: MUTUALFIRST FINANCIAL INC - Form 4

Director 10% Owner Officer Other

BOTTS PATRICK C MUTUALFIRST FINANCIAL, INC. 110 EAST CHARLES STREET MUNCIE, IN 47305-2400

X

President & COO

### **Signatures**

/s/ Rosalie A. Petro, P.O.A. for Patrick C. Botts

07/03/2017

\*\*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) Reflects ESOP allocations that have occurred since the date of the reporting person's last ownership report.
- (2) These options were issued under the Issuer's 2000 Stock Option and Incentive Plan and became exercisable on 12/21/2012.
- (3) These options became fully exercisable on 11/12/2005.
- (4) These options became fully exercisable on 12/31/2005.
- (5) Shares were sold pursuant to a 10b5-1 Stock Trading Plan entered into by the reporting person which was announced by the Company in a Current Report on Form 8-K filed with the SEC on June 23, 2017.

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.

Signatures 3