

BRODY MARK S  
Form 4  
July 25, 2018

**FORM 4**

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

OMB APPROVAL

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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 \*  
BRODY MARK S

2. Issuer Name and Ticker or Trading Symbol  
UNITY BANCORP INC /NJ/  
[UNTY]

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

(Last) (First) (Middle)  
C/O UNITY BANK, 64 OLD  
HIGHWAY 22  
  
(Street)

3. Date of Earliest Transaction  
(Month/Day/Year)  
07/24/2018

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

CLINTON, NJ 08809

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 Ownership (Instr. 4)
				(A) or (D) Code V Amount (D) Price			
Restricted Stock					3,490 <sup>(1)</sup>	D	
Common Stock					79,464 <sup>(2)</sup>	D	
Common Stock					40,102	I	Financial Planning Analysts
Common Stock					261,669 <sup>(3)</sup>	I	Financial Planning Analysts



## Edgar Filing: BRODY MARK S - Form 4

- (1) 3,490 restricted shares are held in an account at Computershare, which have upcoming vesting dates.
- (2) A total of 79,464 shares are beneficially owned by Dr. Brody; 48,400 are held jointly with his spouse; 12,705 are held in street name; and 18,359 are held in an account at Computershare.
- (3) Shares held in a master account of Financial Planning Analysts over which Dr. Brody has no voting authority, but has dispositive power.
- (4) Dr. Brody exercised 1,539 stock options at \$3.46 per share, and sold at \$25.24 per share.
- (5) Dr. Brody exercised 661 stock options at \$3.46 per share, and sold at \$25.35 per share.
- (6) 11,400 stock options were granted of which 5,667 are currently exercisable.

### **Remarks:**

Total Beneficial Ownership: 390,392

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.