

Edgar Filing: HomeTown Bankshares Corp - Form 4

HomeTown Bankshares Corp  
Form 4  
July 05, 2016

**FORM 4**

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

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

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
**HAMRICK DANIEL D**

(Last) (First) (Middle)

**C/O HOMETOWN BANKSHARES  
CORPORATION, 202 S.  
JEFFERSON STREET**

(Street)

**ROANOKE, VA 24011**

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading  
Symbol  
**HomeTown Bankshares Corp  
[HMTA]**

3. Date of Earliest Transaction  
(Month/Day/Year)  
**06/29/2016**

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)

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 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 Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price
common stock	06/29/2016		C <sup>(1)</sup>		16,640	A	\$ 6.01
					25,440		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  
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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)**

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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 Securities (Instr. 3 and 4)	8. P Der Sec (Ins	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Series C Convertible Preferred Stock	\$ 1,000	06/29/2016		C <sup>(2)</sup>	100	06/28/2013	<sup>(3)</sup>	common stock	16,640 \$

## Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
HAMRICK DANIEL D C/O HOMETOWN BANKSHARES CORPORATION 202 S. JEFFERSON STREET ROANOKE, VA 24011	X

## Signatures

/s/ Charles W. Maness Jr, Attorney in Fact for Daniel D Hamrick

07/05/2016

\*\*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) Acquired shares of common stock at a conversion price per share of \$6.01 in exchange for shares of Series C Convertible Preferred Stock value \$1,000 due to the Company's election to convert Preferred Shares into Common Shares.
- (2) Disposed of shares of Series C Convertible Preferred Stock in exchange for shares of Common Stock at a conversion price of \$6.01 per share of Common Stock due to the Company's election to convert Preferred Shares into Common Shares.
- (3) Series C Convertible Preferred Stock is perpetual and the conversion feature does not expire.

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.