Edgar Filing: GUARANTY FEDERAL BANCSHARES INC - Form 4

GUARANTY FEDERAL BANCSHARES INC

Form 4

April 11, 2014

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

(Print or Type Responses)

1. Name and Address of Reporting Person * HELLWEG KURT D

(First) (Middle)

4083 EAGLESCLIFFE

(Last)

(Street)

2. Issuer Name and Ticker or Trading

Symbol

GUARANTY FEDERAL BANCSHARES INC [GFED]

3. Date of Earliest Transaction (Month/Day/Year) 09/14/2011

4. If Amendment, Date Original

Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to

Issuer

(Check all applicable)

OMB APPROVAL

3235-0287

January 31,

2005

0.5

OMB

Number:

Expires:

response...

Estimated average

burden hours per

_X__ Director 10% Owner _Other (specify Officer (give title

below)

6. Individual or Joint/Group Filing(Check

Applicable Line)

X Form filed by One Reporting Person Form filed by More than One Reporting

Person

SPRINGFIELD, MO 65809

(City)	(State) (Z	Zip) Table	e I - Non-D	erivative	Secur	rities A	equired, Dispose	d of, or Bene	ficially Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 8) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
			Code V	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)	(Instr. 4)	
COMMON STOCK	09/14/2011		P	751	A	\$ 4.5	33,137	I	SELF TRUST
COMMON STOCK	09/16/2011		P	96	A	\$ 4.5	33,233	I	SELF TRUST
COMMON STOCK	09/21/2011		P	1,200	A	\$ 4.5	34,433	I	SELF TRUST
COMMON STOCK	09/26/2011		P	172	A	\$ 4.5	34,605	I	SELF TRUST
COMMON STOCK	09/29/2011		P	43	A	\$ 4.5	34,648	I	SELF TRUST

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COMMON STOCK	09/30/2011	P	1,738	A	\$ 4.5	36,386	I	SELF TRUST
COMMON STOCK						8,112 <u>(1)</u>	I	RESTRICTED
COMMON STOCK						35,000 (2)	D	
COMMON STOCK						3,086 (3)	I	DRIP

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 required to respond unless the form displays a currently valid OMB control number.

SEC 1474

(9-02)

9. Nu Deriv Secur Bene Own Follo Repo Trans (Instr

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. Transa Code (Instr.		5. onNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	Secur	int of rlying	8. Price of Derivative Security (Instr. 5)
				Code	V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	

Reporting Owners

Reporting Owner Name / Address	Relationships							
1	Director	10% Owner	Officer Other					
HELLWEG KURT D								
4083 EAGLESCLIFFE	X							

Signatures

SPRINGFIELD, MO 65809

KURT D.	
HELLWEG	04/11/2014
**Signature of Reporting Person	Date

Reporting Owners 2

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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).
- The total of restricted common stock (8,112) takes into account the number of shares owned in September 2011 of 2,119 and Form 4 filed
- (1) January 2012 for 2,315 shares, Form 4 filed January 2013 for 2,072 shares and Form 4 filed February 2014 for 1,606 shares for a total of 8,112 shares.
- (2) The total number of shares of common stock owned directly was purchased in March 2014 and shown on Form 4 filed March 2014.
- (3) The total number of shares of common stock owned by Mr. Hellweg through his Dividend Reinvestment Plan account which has not changed since September 30, 2011.

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.