

Solera National Bancorp, Inc.  
Form 4  
August 16, 2013

**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

OMB  
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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
AKERS NORMA R.

(Last) (First) (Middle)

319 S. SHERIDAN BLVD.

(Street)

LAKEWOOD, CO 80226

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading  
Symbol  
Solera National Bancorp, Inc.  
[OTCQB:SLRK]

3. Date of Earliest Transaction  
(Month/Day/Year)  
08/14/2013

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<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3.<br>Transaction<br>Code<br>(Instr. 8) | 4. Securities Acquired<br>(A) or Disposed of<br>(D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|---|---|---|--|--|--|---|
|                                       |   |   | Code                                    | V  | Amount<br>(A)<br>or<br>(D)   | Price  |   |
| Common<br>Stock, \$.01<br>Par Value   | 08/14/2013                              |   | S                                       |  | 2,500  | D<br>\$<br>7.75  | 16,000<br>D   |
| Common<br>Stock, \$.01<br>Par Value   | 08/14/2013                              |   | S                                       |  | 1,000  | D<br>\$<br>7.75  | 15,000<br>D   |
| Common<br>Stock, \$.01<br>Par Value   |   |   |   |  |  | 2,500  | I<br>By Son   |
| Common<br>Stock, \$.01                |   |   |   |  |  | 2,500  | I<br>By Son   |

Par Value

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

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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)

| 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<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transaction<br>Code<br>(Instr. 8) | 5. Number<br>of Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed of<br>(D)<br>(Instr. 3, 4,<br>and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                    | 7. Title and Amount of<br>Underlying Securities<br>(Instr. 3 and 4) | 8. Title and Amount of<br>Underlying Securities<br>(Instr. 3 and 4) |
|---|---|---|---|---|---|--|--------------------|---|---|
|   |   |   |   | Code                                    | V (A) (D)   | Date<br>Exercisable  | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of<br>Shares                              |
| Stock<br>Option<br>(Right to<br>Buy)                | \$ 4.47   | 08/14/2013                              |   | X                                       | 2,500   | <u>(1)</u>   | 08/20/2020         | Common<br>Stock,<br>\$.01 Par<br>Value                              | 2,500   |
| Stock<br>Option<br>(Right to<br>Buy)                | \$ 3.3  | 08/14/2013                              |   | X                                       | 1,000   | <u>(2)</u>   | 02/16/2022         | Common<br>Stock,<br>\$.01 Par<br>Value                              | 1,000   |

## Reporting Owners

| Reporting Owner Name / Address                                | Relationships |           |         |       |
|---|---------------|-----------|---------|-------|
|   | Director      | 10% Owner | Officer | Other |
| AKERS NORMA R.<br>319 S. SHERIDAN BLVD.<br>LAKEWOOD, CO 80226 | X             |           |         |       |

## Signatures

/s/ Robert J. Fenton,  
attorney-in-fact

08/16/2013

\*\*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) 5,000 Stock Options were granted to the Reporting Person on August 20, 2010 which vested over 12 equal monthly installments beginning September 20, 2010. On August 14, 2013, 2,500 Stock Options were exercised and the 2,500 shares of Common Stock issued was simultaneously sold at \$7.75 per share. As a result, 2,500 fully-vested Stock Options are still held by the Reporting Person exercisable at \$4.47 per share.

(2) 3,000 Stock Options were granted to the Reporting Person on February 16, 2012 which are vesting over 48 equal monthly installments beginning March 16, 2012. On August 14, 2013, 1,000 Stock Options were exercised and the 1,000 shares of Common Stock issued was simultaneously sold at \$7.75 per share. As a result, 2,000 Stock Options are still held by the Reporting Person exercisable at \$3.30 per share.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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