

ESCALADE INC
Form 4
March 06, 2014

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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 *
Keller Robert J

(Last) (First) (Middle)
817 MAXWELL AVE
(Street)

EVANSVILLE, IN 47711

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
ESCALADE INC [ESCA]

3. Date of Earliest Transaction (Month/Day/Year)
03/04/2014

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)
President & CEO

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 (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)
			Code	V	Amount or Price		
Common Stock	03/04/2014		M		13,750 (1)	A	\$ 2.56 202,500 D
Common Stock	03/06/2014		M		5,500 (1)	A	\$ 5.85 208,000 D
Common Stock	03/06/2014		M		1,552 (1)	A	\$ 5.28 209,522 D
Common Stock	03/06/2014		M		2,948 (1)	A	\$ 6.07 212,500 D
Common Stock	03/04/2014		S		2,800	D	\$ 11.91 209,700 D

Edgar Filing: ESCALADE INC - Form 4

Common Stock	03/04/2014	S	300	D	\$ 11.9	209,400	D
Common Stock	03/05/2014	S	5,000	D	\$ 11.7	204,400	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 required to respond unless the form displays a currently valid OMB control number.

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 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)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount or Number of Shares
Common Stock Option	\$ 2.56	03/04/2014		M	13,750	02/26/2011 02/26/2015	Common Stock <u>13,750</u> ⁽¹⁾
Common Stock Option	\$ 5.28	03/06/2014		M	1,552	03/02/2013 03/02/2017	Common Stock <u>1,552</u> ⁽¹⁾
Common Stock Option	\$ 5.85	03/06/2014		M	5,500	03/01/2014 03/01/2018	Common Stock <u>5,500</u> ⁽¹⁾
Common Stock Option	\$ 6.07	03/06/2014		M	2,948	03/01/2012 03/01/2016	Common Stock <u>2,948</u> ⁽¹⁾

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Keller Robert J 817 MAXWELL AVE EVANSVILLE, IN 47711	X		President & CEO	

Signatures

/s/ Robert Keller

03/06/2014

**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) Shares issued pursuant to the exercise of options under the Escalade, Incorporated 2007 Incentive Plan in a transaction exempt from Section 16(b) short swing profit liability.

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.