

Rooney Stephen
Form 3
May 01, 2018

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF 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 *

Rooney Stephen
(Last) (First) (Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)
04/26/2018

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

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original Filed(Month/Day/Year)

C/O UNITY BANK, 64 OLD HIGHWAY 22

(Street)

CLINTON, NJ 08809

(City) (State) (Zip)

(Check all applicable)

Director 10% Owner
 Officer Other
(give title below) (specify below)
Chief Lending Officer/1st SVP

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 Beneficially Owned

1. Title of Security (Instr. 4)

2. Amount of Securities Beneficially Owned (Instr. 4)

3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)

4. Nature of Indirect Beneficial Ownership (Instr. 5)

Common Stock

4,975 (1)

D

Restricted Stock

3,775 (2)

D

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

SEC 1473 (7-02)

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.

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 4)

2. Date Exercisable and Expiration Date (Month/Day/Year)

3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)

4. Conversion or Exercise Price of

5. Ownership Form of Derivative

6. Nature of Indirect Beneficial Ownership (Instr. 5)

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Derivative Security	Security: Direct (D) or Indirect (I) (Instr. 5)
Stock Options	Â (3)	Â (3)	Common Stock	18,000 (4) \$ (3)		D Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Rooney Stephen C/O UNITY BANK, 64 OLD HIGHWAY 22 CLINTON,Â NJÂ 08809	Â	Â	Â Chief Lending Officer/1st SVP	Â

Signatures

Stephen F. Rooney, poa Laurie Cook,
Controller/SVP

05/01/2018

__Signature of Reporting Person

Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, see Instruction 5(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) 4,975 shares are held in an account at Computershare.
- 3,775 restricted shares are held in an account at Computershare which have future vesting dates. All shares were granted from the 2013 Stock Bonus Plan and are broken out as follows; 2,200 restricted shares were granted on 12/10/2014, of which 550 shares vest on 12/10/2018; 1,650 restricted shares were granted on 12/16/2015, of which 412 shares vest on 12/16/2018, and 413 shares vest on 12/16/2019; 1,200 restricted shares were granted on 12/15/2016, of which 300 shares vest on 12/15/2018, 12/15/2019, and 12/15/2020; 1,500 restricted shares were granted on 1/2/2018, of which 375 shares vest on 1/2/2019, 1/2/2020, 1/2/2021, and 1/2/2022. All restricted shares vest over a 4-yr. period from the date of issue.
- (3) See Footnote 4
- (4) A total of 18,000 stock options were issued of which 5,334 are currently exercisable. They are broken out as follows; 5,500 options were issued on 12/16/2015 from the 2015 Stock Option Plan at \$9.63 per share that expire on 12/16/2025; 5,000 options were issued on 12/15/2016 from the 2015 Stock Option Plan at \$14.60 per share that expire on 12/15/2026; 7,500 options were issued on 1/2/2018 from the 2017 Stock Option Plan at \$19.75 per share that expire on 1/2/2028. Stock Options vest over a 3-yr. period from the date of issue.

Â

Remarks:

TotalÂ BeneficialÂ Ownership:Â 14,084

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.