

Rooney Stephen  
Form 4  
December 12, 2018

**FORM 4** UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

OMB APPROVAL

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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 \*  
Rooney Stephen

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)  
12/10/2018

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

C/O UNITY BANK, 64 OLD HIGHWAY 22

(Street)

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

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
\_\_\_ Form filed by More than One Reporting Person

CLINTON, NJ 08809

(City) (State) (Zip)

**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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| Restricted Stock                | 12/10/2018                           |  | A                              | (A)<br>or<br>(D)<br>Code V Amount Price<br>A 1,250 \$<br>(1) 21.3 | 4,475 (2)   | D  |                                   |
| Common Stock                    |                                      |  |                                |   | 5,338 (3)   | D  |                                   |

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

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SEC 1474 (9-02)

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**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) | 8. Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|-------------------------------|
| Stock Options                              | \$ 21.3  | 12/10/2018                           |  | A                              | 5,000<br><u>(4)</u>   | 12/10/2019 12/10/2028                                    | Common Stock  | 5,000                         |

## Reporting Owners

**Reporting Owner Name / Address**

**Relationships**

Director 10% Owner Officer Other

Rooney Stephen  
C/O UNITY BANK, 64 OLD HIGHWAY 22  
CLINTON, NJ 08809

Chief Lending Officer/1st SVP

## Signatures

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

12/12/2018

\_\_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) 1,250 restricted shares were granted on 12/10/2018 from the 2013 Stock Bonus Plan and vest over four years; vesting commences with 312 shares on 12/10/19, 313 shares on 12/10/20, 312 shares on 12/10/21, and 313 shares on 12/10/22.
- (2) 4,475 restricted shares are held in an account at Computershare, which have upcoming vesting dates.
- (3) 5,338 shares are held in account at Shareworks.
- (4) 5,000 stock options were granted on 12/10/18, which vest 1/3 per year; i.e. 1,667 on 12/10/19, 1,666 on 12/10/20, and 1,667 on 12/10/21.
- (5) 23,000 stock options were granted to Mr. Rooney of which 5,334 are currently exercisable.

### Remarks:

Total Beneficial Ownership: 15,147

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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