

S Y BANCORP INC
Form 4
August 22, 2013

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

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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 *
HEINTZMAN DAVID P

(Last) (First) (Middle)
3019 POPPY WAY

(Street)

LOUISVILLE, KY 40206

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
S Y BANCORP INC [SYBT]

3. Date of Earliest Transaction (Month/Day/Year)
08/20/2013

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)
Chairman & 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 Ownership (Instr. 4) | | | |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|-------------|---|-----------------------------------|
| | | | Code | V | Amount | (D) | Price | | | |
| Common Stock | 08/20/2013 | | M | | 109 | A | Ⓛ | 98,768 | D | |
| Common Stock | 08/20/2013 | | S | | 109 | D | \$ 27.6 | 98,659 | D | |
| Common Stock | | | | | | | | 21,499.4887 | I | By 401k/ESOP - fbo David Heintman |
| Common Stock | | | | | | | | 4,041 | I | By Spouse |

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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 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 |
| Option (Right to Buy) | \$ 20.1714 | 08/20/2013 | | M | 109 | 06/16/2004 | 12/16/2013 | Common Stock | 109 |
| Option (Right to Buy) | \$ 22.8095 | | | | | 06/14/2005 | 12/14/2014 | Common Stock | 25,095 |
| Option (Right to Buy) | \$ 24.0667 | | | | | 07/17/2006 | 01/17/2016 | Common Stock | 31,500 |
| Option (Right to Buy) | \$ 26.83 | | | | | 08/20/2007 | 02/20/2017 | Common Stock | 22,000 |
| Stock Appreciation Right | \$ 23.37 | | | | | 08/19/2008 | 02/19/2018 | Common Stock | 13,500 |
| Stock Appreciation Right | \$ 22.14 | | | | | 02/17/2010 | 02/17/2019 | Common Stock | 12,300 |
| Stock Appreciation Right | \$ 21.03 | | | | | 02/16/2011 | 02/16/2020 | Common Stock | 17,550 |
| Stock Appreciation Right | \$ 23.76 | | | | | 03/15/2012 | 03/15/2021 | Common Stock | 14,382 |
| | \$ 22.86 | | | | | 02/20/2013 | 02/20/2022 | | 24,274 |

Stock
Appreciation
Right

Common
Stock

Stock
Appreciation \$ 22.89
Right

02/19/2014 02/19/2023

Common
Stock 16,677

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|----------------|-------|
| | Director | 10% Owner | Officer | Other |
| HEINTZMAN DAVID P 3019 POPPY WAY LOUISVILLE, KY 40206 | X | | Chairman & CEO | |

Signatures

//David P.
Heintzman 08/22/2013

**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) Stock option exercise.

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