

AUGUSTINE JOHN J  
Form 4  
May 11, 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 \*  
AUGUSTINE JOHN J

2. Issuer Name and Ticker or Trading Symbol  
QUAINT OAK BANCORP INC  
[QNTQ]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)  
05/09/2018

Director  10% Owner  
 Officer (give title below)  Other (specify below)  
EVP & Chief Financial Officer

C/O QUAINT OAK BANCORP, INC., 501 KNOWLES AVENUE

(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

SOUTHAMPTON, PA 18966

(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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
|                                 |                                      |  | Code                           | V Amount (A) or (D) Price   |   |  |                                   |
| Common Stock                    | 05/09/2018                           |  | A                              | 7,500<br>(1)  | \$ 0 26,611   | D  |                                   |
| Common Stock                    |                                      |  |                                |   | 3,075.95  | I  | By 401(k) Plan                    |
| Common Stock                    |                                      |  |                                |   | 22,200  | I  | By IRA                            |
| Common Stock                    |                                      |  |                                |   | 3,000   | I  | By Spouse                         |
| Common Stock                    |                                      |  |                                |   | 14,652.78   | I  | By ESOP                           |

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

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(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 Security (Instr. 3 and 4) | Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------------|
| Employee Stock Option (Right to Buy)       | \$ 13.3  | 05/09/2018                           |  | A                              | 20,000  | (2) 05/09/2028   | Common Stock  | 20,000                     |
| Employee Stock Option (Right to Buy)       | \$ 8.1   |                                      |  |                                |   | 05/08/2018(3) 05/08/2023                                 | Common Stock  | 20,000                     |

## Reporting Owners

| Reporting Owner Name / Address   | Relationships |           |                               |       |
|--|---------------|-----------|-------------------------------|-------|
|  | Director      | 10% Owner | Officer                       | Other |
| AUGUSTINE JOHN J<br>C/O QUAIN T OAK BANCORP, INC.<br>501 KNOWLES AVENUE<br>SOUTHAMPTON, PA 18966 | X             |           | EVP & Chief Financial Officer |       |

## Signatures

/s/Diane J. Colyer by P.O.A. for John J. Augustine 05/11/2018

\_\_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) Represents the grant of shares pursuant to the Issuer's 2018 Stock Incentive Plan that vest ratably over five years at 20% per year commencing on May 9, 2019.
- (2) The options are vesting at a rate of 20% per year commencing on May 9, 2019.
- (3) The options vested at a rate of 20% per year commencing on May 8, 2014.

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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