#### NICHOLAS FINANCIAL INC

Form 4/A July 11, 2017

## FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB APPROVAL** OMB

Number:

3235-0287

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Check this box if no longer subject to Section 16. Form 4 or

Form 5 obligations may continue. See Instruction

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(b).

(Last)

(Instr. 3)

1. Name and Address of Reporting Person \* FINKENBRINK RALPH

(First)

2. Issuer Name and Ticker or Trading Symbol

Issuer

NICHOLAS FINANCIAL INC

(Check all applicable)

CEO & President

5. Relationship of Reporting Person(s) to

[NICk]

(Middle)

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

X\_ Officer (give title below)

10% Owner Other (specify

2454 MCMULLEN BOOTH ROAD, BLDG C SUITE 501B

4. If Amendment, Date Original

6. Individual or Joint/Group Filing(Check

\_X\_\_ Director

(Street)

Filed(Month/Day/Year) Applicable Line)

05/30/2017

05/16/2017

\_X\_ 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

CLEARWATER, FL 33759

(City) (State) (Zip) 1.Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if

3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 3, 4 and 5) (Instr. 8)

5. Amount of Securities Beneficially Owned Following

6. Ownership 7. Nature of Form: Direct Indirect (D) or Beneficial Ownership Indirect (I) (Instr. 4) (Instr. 4)

(A) or

Reported Transaction(s) (Instr. 3 and 4)

Code V Amount Price (D)

Common 05/16/2017 Stock

 $A^{(1)}$ 5.194

Α

\$0 93,098

D

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

(Month/Day/Year)

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

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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. Transactic Code (Instr. 8)	5. onNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	7. Title and A Underlying S (Instr. 3 and	Securities	8. Price Deriva Securit (Instr. :
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Stock Option (right to buy)	\$ 6.58 (2)					(3)	08/31/2017	Common Stock	11,000	
Stock Option (right to buy)	\$ 3.6 (2)					<u>(4)</u>	03/19/2018	Common Stock	8,200	
Stock Option (right to buy)	\$ 3.5 (2)					<u>(5)</u>	04/01/2018	Common Stock	38,500	
Stock Option (right to buy)	\$ 14.37					<u>(6)</u>	06/13/2024	Common Stock	40,000	

## **Reporting Owners**

Reporting Owner Name / Address	Relationships					
. 6	Director	10% Owner	Officer	Other		
FINKENBRINK RALPH 2454 MCMULLEN BOOTH ROAD BLDG C SUITE 501B CLEARWATER, FL 33759	X		CEO & President			

# **Signatures**

/s/Ralph T.	
Finkenbrink	07/11/2017
**Signature of Reporting Person	Date

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## **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) The award represents earned, but unvested shares underlying performance units, with the shares vesting on March 31, 2019.
- (2) The exercise price has been reduced by \$2.00 per the Equity Plan requirements as a result of the December 2012 special cash dividend.
- (3) The options vested in five equal annual installments beginning on August 31, 2008.
- (4) The options vested in three equal annual installments beginning on March 19, 2009.
- (5) The options vested in three equal annual installments beginning on April 1, 2009.
- (6) The options vested in five equal annual installments beginning on June 13, 2015.

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.