### Edgar Filing: KINGSWAY FINANCIAL SERVICES INC - Form 4

#### KINGSWAY FINANCIAL SERVICES INC

Form 4

September 30, 2016

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

#### **OMB APPROVAL**

**OMB** 3235-0287 Number:

January 31, Expires: 2005

Estimated average burden hours per response... 0.5

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES**

Washington, D.C. 20549

Form 5 obligations may continue.

Check this box

if no longer

subject to

Section 16.

Form 4 or

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 See Instruction

1(b).

(Last)

(Print or Type Responses)

1. Name and Address of Reporting Person \* Hickey William August Jr

(First)

(Middle)

2. Issuer Name and Ticker or Trading Symbol

KINGSWAY FINANCIAL

SERVICES INC [KFS]

3. Date of Earliest Transaction

(Month/Day/Year) 09/30/2016

Director

10% Owner X\_ Officer (give title Other (specify below) COO, CFO, and EVP

(Check all applicable)

5. Relationship of Reporting Person(s) to

KINGSWAY FINANCIAL SERVICES, INC., 150 PIERCE ROAD, SUITE 600

(Street)

4. If Amendment, Date Original

Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check

Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Ownership

Indirect (I)

(Instr. 4)

(D) or

Form: Direct

Issuer

ITASCA, IL 60143

1.Title of

(City) (State) (Zip)

2. Transaction Date 2A. Deemed

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

Security (Month/Day/Year) Execution Date, if Transaction(A) or Disposed of (D) Securities (Instr. 3) Code (Instr. 3, 4 and 5) Beneficially (Month/Day/Year) (Instr. 8) Owned Following Reported (A) Amount (D) Code V Price

Transaction(s) (Instr. 3 and 4)

5. Amount of

4. Securities Acquired

Common 09/30/2016 Stock

P 296,038 (1) D 260 5.7711

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

Persons who respond to the collection of **SEC 1474** information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

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

7. Nature of

Indirect

Beneficial

Ownership

(Instr. 4)

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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)	4. Transactio Code (Instr. 8)	of Derivative Securities Acquired (A) or Disposed of (D)	Expiration D (Month/Day/ e	Date	7. Title and Amount of Underlying Securities (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Owne Follo Repo Trans (Instr
			Code V	(Instr. 3, 4, and 5)  (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

# **Reporting Owners**

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
Hickey William August Jr KINGSWAY FINANCIAL SERVICES, INC. 150 PIERCE ROAD, SUITE 600 ITASCA II. 60143			COO, CFO, and EVP				

## **Signatures**

/s/William A. 09/30/2016 Hickey, Jr. Date \*\*Signature of Reporting

## **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) Includes 229,500 restricted common shares under the 2013 Equity Incentive Plan, approved by shareholders in May 2013.

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.

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