

NICHOLAS FINANCIAL INC
Form 3
June 03, 2014

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF 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 *		2. Date of Event Requiring Statement	3. Issuer Name and Ticker or Trading Symbol	
Â Bates Kevin Dean		(Month/Day/Year)	NICHOLAS FINANCIAL INC [NICK]	
(Last)	(First)	(Middle)	06/01/2014	
2454 MCMULLEN BOOTH DRIVE,Â BLDG C			4. Relationship of Reporting Person(s) to Issuer	5. If Amendment, Date Original Filed(Month/Day/Year)
(Street)			(Check all applicable)	
CLEARWATER,Â FLÂ 33759			<input type="checkbox"/> Director <input type="checkbox"/> 10% Owner	6. Individual or Joint/Group Filing(Check Applicable Line)
(City)	(State)	(Zip)	<input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other	<input checked="" type="checkbox"/> Form filed by One Reporting Person
			(give title below) (specify below)	<input type="checkbox"/> Form filed by More than One Reporting Person
			Senior VP Branch Operations	

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security (Instr. 4)	2. Amount of Securities Beneficially Owned (Instr. 4)	3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	4. Nature of Indirect Beneficial Ownership (Instr. 5)
Common Stock	11,050	D	Â

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

SEC 1473 (7-02)

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

1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)	3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)	4. Conversion or Exercise Price of Derivative Security	5. Ownership Form of Derivative Security: Direct (D)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
		Title			

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	Date Exercisable	Expiration Date		Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Stock Option (right to buy)	Â (1)	05/12/2015	Common Stock	1,650	\$ 9.41	D	Â
Stock Option (right to buy)	Â (3)	05/08/2017	Common Stock	5,500	\$ 8.21 (2)	D	Â
Stock Option (right to buy)	Â (4)	03/19/2018	Common Stock	3,300	\$ 3.6 (2)	D	Â
Stock Option (right to buy)	Â (8)	11/06/2018	Common Stock	5,500	\$ 0.77 (2)	D	Â
Stock Option (right to buy)	Â (5)	05/05/2019	Common Stock	5,500	\$ 1.2 (2)	D	Â
Stock Option (right to buy)	Â (6)	05/09/2021	Common Stock	1,500	\$ 10.96 (2)	D	Â
Stock Option (right to buy)	Â (7)	05/03/2022	Common Stock	10,000	\$ 10.87 (2)	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Bates Kevin Dean 2454 MCMULLEN BOOTH DRIVE BLDG C CLEARWATER, FL 33759	Â	Â	Â Senior VP Branch Operations	Â

Signatures

/s/ Kevin D. Bates 06/03/2014

**Signature of Reporting Person Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, see Instruction 5(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 option vested in five equal annual installments beginning May 12, 2005.
- (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 option vested in five equal annual installments beginning May 8, 2007.
- (4) The option vested in five equal annual installments beginning March 19, 2008.
- (5) The option vested in five equal annual installments beginning May 5, 2009.
- (6) The option vested in five equal annual installments beginning May 9, 2011.
- (7) The option vested in five equal annual installments beginning May 3, 2012.

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(8) The option vested in five equal annual installments beginning November 6, 2008.

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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