

HECKER MARK E

Form 4

January 08, 2019

FORM 4
UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

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

OMB APPROVAL

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
HECKER MARK E

(Last) (First) (Middle)

SOUTHERN MISSOURI
BANCORP, INC., 2991 OAK
GROVE ROAD

(Street)

POPLAR BLUFF, MO 63901

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
SOUTHERN MISSOURI
BANCORP, INC. [SMBC]

3. Date of Earliest Transaction
(Month/Day/Year)
01/04/2019

4. If Amendment, Date Original
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

____ Director ____ 10% Owner
X Officer (give title below) ____ Other (specify below)
EVP, Chief Credit Officer

6. Individual or Joint/Group Filing(Check
Applicable Line)
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

| 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 Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------------|---|---|---|--|--|--|---|
| Common Stock | 01/04/2019 | | A ⁽¹⁾ | 600 A \$ 0 | 2,350 | D | |
| Common Stock | | | | | 185 | I | Held by Spouse in IRA |
| Common Stock | | | | | 8,630 ⁽²⁾ | I | Held in IRA |
| Common Stock | | | | | 137.14 | I | 401(k) |

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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) | 8. I Der Sec (In |
|---|--|---|---|--------------------------------------|---|--|---|---------------------------|
| | | | | Code | V | (A) | (D) | |
| Stock Option (Right to Buy) | \$ 37.31 | | | | | (3) | 01/16/2028 | Common Stock |
| Stock Option (Right to Buy) | \$ 34.35 | 01/04/2019 | | A | 2,000 | (4) | 01/04/2029 | Common Stock |

Reporting Owners

| Reporting Owner Name / Address | Relationships |
|---|---|
| HECKER MARK E SOUTHERN MISSOURI BANCORP, INC. 2991 OAK GROVE ROAD POPLAR BLUFF, MO 63901 | Director 10% Owner Officer Other EVP, Chief Credit Officer |

Signatures

/s/ Mark E.
Hecker 01/07/2019

**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).

- The shares are scheduled to vest over a five-year period beginning February 9, 2020, with up to 20% of the shares vesting on that date and
- (1) on each of the next four anniversaries of that date based on the extent to which the Company's annualized return on average assets over the 12 calendar quarters ending immediately prior to the applicable vesting date exceeds a threshold level.
 - (2) Shares were corrected to reflect 410 additional shares in the IRA that were incorrectly reported as direct ownership on the Form 3. Direct ownership was lowered by 410 shares.
 - (3) The options become exercisable in 20% installments over a five year period with the first installment vesting on 1/16/2019. Each remaining installment vests annually thereafter.
 - (4) The options become exercisable in 20% installments over a five year period with the first installment vesting on 1/04/2020. Each remaining installment vests annually thereafter.

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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