Edgar Filing: Bass Douglas Richard - Form 4

Bass Douglas Form 4	s Richard										
December 06	5, 2018										
FORM			GEOUD				NCEC	COMMISSION		PPROVAL	
	shington,			NGE C	COMMISSION	OMB Number:	3235-0287				
if no longer STATEMENT OF CHAN				GES IN	- CES IN RENEFICIAL OWNERSHIP O					January 31 2005	
Statement of get subject to Statement of CHANGES IN BENEFICIAL OWNERSHIP OF Estimated average Section 16. SECURITIES Estimated average Form 4 or Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Estimated average obligations Filed pursuant to Section 16(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940 1(b). 1(b). Section 17(a) of the Investment Company Act of 1940 Section 1940											
(Print or Type F	Responses)										
1. Name and A Bass Dougla	Name and Ticker or Trading				5. Relationship of Reporting Person(s) to Issuer						
(Last)	(First) (M	(Middle) 3. Date of Earliest Transaction				-	(Check all applicable)				
	T WESTERN , INC., 225 SOUT NUE	ГН	(Month/D 12/04/20	-				Director X Officer (give below) Regional		Owner er (specify EVP	
	ndment, Date Original th/Day/Year)				6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person						
SIOUX FAI	LLS, SD 57104							Form filed by M Person	lore than One Re	porting	
(City)	(State)	(Zip)	Tabl	e I - Non-D	erivative	Secur	ities Acq	uired, Disposed of	, or Beneficial	ly Owned	
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	Executio any		3. Transactic Code (Instr. 8) Code V	(Instr. 3,	ispose 4 and (A) or	d of (D)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)		
Common Stock, par value \$0.01 per share	12/04/2018			М	813	A	\$ 0	19,368	D		
Common Stock, par value \$0.01 per share	12/04/2018 <u>(1)</u>			A	3,607	A	\$ 0	22,975	D		
Common Stock, par value \$0.01	12/04/2018 <u>(2)</u>			F	248	D	\$ 34.51	22,727	D		

per share

Common Stock, par value \$0.01 12/04/2018(3) per share F 1,096 D \$ 34.51 21,631

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

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

D

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. Transacti Code (Instr. 8)	onof Deri Secu Acq (A) Disp of (J	ivative urities uired or posed D) tr. 3, 4,	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)		8. Price Derivat Securit (Instr. 5
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Restricted Stock Units - 2015	<u>(4)</u>	12/04/2018		М		813	<u>(5)</u>	<u>(5)</u>	Common Stock, par value \$0.01 per share	813	\$ C
Restricted Stock Units - 2016	<u>(4)</u>						<u>(6)</u>	<u>(6)</u>	Common Stock, par value \$0.01 per share	656	
Restricted Stock Units - 2017	<u>(4)</u>						(7)	(7)	Common Stock, par value \$0.01 per share	1,259	
Restricted Stock Units - 2018	<u>(4)</u>						(8)	<u>(8)</u>	Common Stock, par value \$0.01 per share	6,096	

Restricted Stock Units (2018 STI)	<u>(4)</u>	<u>(9)</u>	<u>(9)</u>	Common Stock, par value \$0.01 per share	859
				^	

Reporting Owners

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2 S

S I E

Relationships							
Director	10% Owner	Officer	Other				
		Regional President and EVP					
glas Richa	ırd						
		12/06/2018					
		Date					
	_	Director 10% Owner	Director 10% Owner Officer Regional President and EVP				

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 vesting and issuance of performance stock units granted in December 2015 and based on the achievement of pre-established performance objectives over a three year period ended September 30, 2018.
- (2) The units representing these shares were surrendered to satisfy tax withholding obligations on the vesting of restricted stock unit awards.
- $(3) \frac{\text{The units representing these shares were surrendered to satisfy tax withholding obligations on the vesting of performance stock unit awards.}$
- (4) Each restricted stock unit represents a contingent right to receive one share of the common stock, par value \$0.01 per share, of Great Western Bancorp, Inc.
- (5) The restricted stock units vest in three annual equal installments beginning on December 4, 2016. The restricted stock units have no expiration date.
- (6) The restricted stock units vest in three annual equal installments beginning on December 2, 2017. The restricted stock units have no expiration date.
- (7) The restricted stock units vest in three equal installments beginning on December 1, 2018. The restricted stock units have no expiration date.
- (8) The restricted stock units vest in three annual installments beginning on November 30, 2019. The restricted stock units have no expiration date.
- (9) The restricted stock units vest on November 30, 2019. The restricted stock units have no expiration date.

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.