SEC Form 4

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FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

| Check this box if no longer s | ubject to |
|-------------------------------|-----------|
| Section 16. Form 4 or Form | |
| obligations may continue. Se | |
| Instruction 1(b). | |

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

OMB APPROVAL OMB Number: 3235-0287 Estimated average burden

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|--------------------------|-----|
| Estimated average burden | |

| 1. Name and Address of Reporting Person [*] Koontz Craig C. | | n* | 2. Issuer Name and Ticker or Trading Symbol <u>HomeTrust Bancshares, Inc.</u> [HTBI] | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) | | | | | |
|---|---------|-------|--|--|--|-----------------------|--|--|--|
| <u> </u> | | | | | Director | 10% Owner | | | |
| C/O HOMETRUST BANCSHARES, INC. | | | 3. Date of Earliest Transaction (Month/Day/Year) 12/06/2019 | | Officer (give title below) | Other (specify below) | | | |
| 10 WOODFIN STREET | | | 4. If Amendment, Date of Original Filed (Month/Day/Year) | 6. Individual or Joint/Group Filing (Check Applicable Line) | | | | | |
| (Street) | | | | X | Form filed by One Rep | orting Person | | | |
| ASHEVILLE | NC | 28801 | | Form filed by More that Person | n filed by More than One Reporting on | | | | |
| (City) | (State) | (Zip) | | | | | | | |

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) | | | 4. Securities Disposed Of 5) | | | 5. Amount of Securities Beneficially Owned Following Reported | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--|---|------|---|------------------------------------|---------------|---------|---|---|---|
| | | | Code | v | Amount | (A) or (D) | Price | Transaction(s) (Instr. 3 and 4) | | (1130. 4) |
| Common Stock | 12/06/2019 | | М | | 1,290 | Α | \$14.37 | 32,419 | D | |
| Common Stock | 12/06/2019 | | S | | 1,290 | D | \$26.6 | 31,129 | 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. Transa Code (8) | | of | | 6. Date Exerc Expiration Da (Month/Day/Y | ate | 7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4) | | 8. Price of Derivative Security (Instr. 5) | 9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4) | 10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 11. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---|---|--|---|------------------------------|---|-----|-------|--|--------------------|--|--|---|--|--|--|
| | | | | Code | v | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | | | |
| Stock Option | \$14.37 | 12/06/2019 | | М | | | 1,290 | (1) | 02/11/2023 | Common Stock | 1,290 | \$0 | 27,545 | D | |
| Stock Option | \$27.51 | | | | | | | (2) | 02/11/2029 | Common Stock | 2,300 | | 2,300 | D | |
| Stock Option | \$26 | | | | | | | (3) | 02/11/2028 | Common Stock | 1,400 | | 1,400 | D | |

Explanation of Responses:

1. Represents stock option granted under Issuer's 2013 Omnibus Incentive Plan with the following vesting schedule: 20% increments on February 11, 2014, 2015, 2016, 2017 and 2018.

2. Represents stock option granted under Issuer's 2013 Omnibus Incentive Plan with the following vesting schedule: 100% on February 11, 2020.

3. Represents stock option granted under Issuer's 2013 Omnibus Incentive Plan with the following vesting schedule: 100% on February 11, 2019.

Remarks:

/s/ Tony J .VunCannon,

Koontz

Attorney-in-Fact for Craig C.

12/10/2019

** Signature of Reporting Person Date

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

* 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.