

D ORAZIO JOHN S
Form 4
December 07, 2018

FORM 4

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person *
D ORAZIO JOHN S

2. Issuer Name and Ticker or Trading Symbol
RGC RESOURCES INC [RGC0]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

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

Director 10% Owner
 Officer (give title below) Other (specify below)

PO BOX 13007

12/04/2018

CEO & President

(Street)

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

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 Form filed by More than One Reporting Person

ROANOKE, VA 24030

(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) | 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 Ownership (Instr. 4) | |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|---|
| | | | Code | V | Amount | Price | | |
| Common Stock | 12/04/2018 | | M ⁽¹⁾ | | 247 | \$ 12.673 | 37,763.392 | D |
| Common Stock | 12/04/2018 | | S | | 247 | \$ 27.9 | 37,516.392 | D |
| Common Stock | 12/06/2018 | | M ⁽²⁾ | | 361 | \$ 12.673 | 37,877.392 | D |
| Common Stock | 12/06/2018 | | S | | 361 | \$ 27.5 | 37,516.392 | D |

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

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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) | Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------------|
| Employee Stock Options | \$ 12.673 | 12/04/2018 | | M | 247 | 10/01/2013 04/01/2023 | Common Stock | 247 |
| Employee Stock Options | \$ 12.673 | 12/06/2018 | | M | 361 | 10/01/2013 04/01/2023 | Common Stock | 361 |
| Employee Stock Options | \$ 12.633 | | | | | 06/06/2014 12/06/2023 | Common Stock | 7,500 |
| Employee Stock Options | \$ 14.4 | | | | | 06/04/2015 12/04/2024 | Common stock | 7,500 |
| Employee Stock Options | \$ 14.147 | | | | | 06/03/2016 12/03/2025 | Common Stock | 8,250 |
| Employee Stock Options | \$ 16.367 | | | | | 06/08/2017 12/08/2026 | Common Stock | 9,750 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---------------------------------|---------------|-----------|-----------------|-------|
| | Director | 10% Owner | Officer | Other |
| D ORAZIO JOHN S PO BOX 13007 | X | | CEO & President | |

ROANOKE, VA 24030

Signatures

John S.
D'Orazio

12/07/2018

__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).
Exercise of options granted 04/01/2013. Includes 175.659 shares purchased through dividends reinvested in the RGC Resources, Inc.
- (1) Dividend Reinvestment Stock Purchase Plan and 28.128 restricted shares purchased 11/01/2017 through dividends reinvested in the RGC Resources, Inc. Restricted Stock Plan.
- (2) Exercise of options granted 04/01/2013.

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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