

SMITH PHILLIP S
Form 4
May 02, 2003

FORM 4

☐ Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

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

OMB APPROVAL

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STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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

Filed By
Romeo and Dye's
Section 16 Filer
www.section16.net

1. Name and Address of Reporting Person*			2. Issuer Name and Ticker or Trading Symbol				6. Relationship of Reporting Person(s) to Issuer (Check all applicable)			
Smith Phillip S.			S.Y. Bancorp, Inc. SYI				☐ Director ☐ 10% Owner ☒ Officer (give title below) Other (specify below)			
(Last) (First) (Middle)			3. I.R.S. Identification Number of Reporting Person, if an entity (voluntary)				4. Statement for Month/Day/Year			
402 Erin Drive			316-64-7832				5/01/2003			
(Street)			5. If Amendment, Date of Original (Month/Day/Year)				7. Individual or Joint/Group Filing (Check Applicable Line)			
Jeffersonville, IN 47130							☒ Form filed by One Reporting Person ☐ Form filed by More than One Reporting Person			
(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 & 5)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 & 4)	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			
Common Stock	5/01/2003		P		.8853	A	36.00	5,272.5429	D	
Common Stock								2,915.9446	I	ESOP Shares ⁽⁷⁾⁽⁸⁾
Common Stock								1,397.3270	I	401k Shares

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).

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FORM 4 (continued) Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
(e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative	2. Conversion or	3. Trans-	3A. Deemed	4. Trans-	5. Number	6. Date Exercisable and Expiration	7. Title and Amount of	8. Price of Derivative	9. Number of Derivative	10. Owner-	11. Nature of Indirect
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Security (Instr. 3)	Exercise Price of Derivative Security	Action Date (Month/ Day/ Year)	Execution Date, if any (Month/ Day/ Year)	Action Code (Instr. 8)	of Derivative Security Acquired (A) or Disposed of (D)			Date (Month/Day/ Year)		Underlying Securities (Instr. 3 & 4)		Security (Instr. 5)	Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	Ship Form of Deriv- ative Security: Direct (D) or Indirect (I) (Instr. 4)	Beneficial Ownership (Instr. 4)
					Code	V	(A)	(D)	Date Exer-cisable	Expira- tion Date	Title	Amount or Number of Shares			
Option (Right to Buy)	7.25								Immed.	1/10/05	Common Stock	20,000		20,000	D
Option (Right to Buy)	14.50								Immed.	1/3/07	Common Stock	2,000		2,000	D
Option (Right to Buy)	20.50								(1)	1/8/08	Common Stock	2,000		2,000	D
Option (Right to Buy)	23.9375								(2)	4/20/09	Common Stock	2,600		2,600	D
Option (Right to Buy)	21.00								(3)	1/7/10	Common Stock	2,600		2,600	D
Option (Right to Buy)	20.63								(4)	12/21/10	Common Stock	3,400		3,400	D
Option (Right to Buy)	33.60								(5)	12/27/11	Common Stock	3,250		3,250	D
Option (Right to Buy)	39.10								(6)	12/17/12	Common Stock	2,500		2,500	D

Explanation of Responses:

(1) 20% per year beginning 1/6/99

(2) 20% per year beginning 4/20/00

(3) Vest 20% per year beginning 1/7/01

(4) Vest 20% per year beginning 12/21/01

(5) Vest 20% per year beginning 12/27/02

(6) Vest 20% per year beginning 12/17/03

(7) Allocation of ESOP Shares

(8) Allocation of 401k Shares

By: /s/ Phillip S. Smith

5/2/2003

Date

**Signature of Reporting Person

**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.

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