

WOLTZ H O III
Form 5
October 09, 2018

FORM 5

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).
Form 3 Holdings
Reported
Form 4
Transactions
Reported

**ANNUAL 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
Number: 3235-0362
Expires: January 31,
2005
Estimated average
burden hours per
response... 1.0

1. Name and Address of Reporting Person *
WOLTZ H O III

(Last) (First) (Middle)

1373 BOGGS DRIVE

(Street)

MOUNT AIRY, NC 27030

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
INSTEEL INDUSTRIES INC [IIN]

3. Statement for Issuer's Fiscal Year Ended
(Month/Day/Year)
08/21/2018

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

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

Chairman, President and CEO

6. Individual or Joint/Group Reporting

(check applicable line)

☒ 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 at end of Issuer's Fiscal Year (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common Stock	08/21/2018	Â	G	1,650	D	\$ 0 494,023	D	Â
Common Stock	08/22/2018	Â	G	200	D	\$ 0 493,823	D	Â
Common Stock (Restricted Stock Units)	Â	Â	Â	Â	Â	Â 28,902	D	Â
	Â	Â	Â	Â	Â	Â 113,328	I	

Edgar Filing: WOLTZ H O III - Form 5

Common
Stock

Co-trustee
of Trusts
created by
Estate of
Howard O.
Woltz, Jr.

Common
Stock

^

^

^

^

^

^

54,798

I

Trustee of
trusts for the
benefit of
children of
H. O. Woltz
III

Common
Stock

^

^

^

^

^

^

61,222

I

co-trustee of
Woltz
Foundation

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.

SEC 2270
(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. Amount or Number of Shares
Stock Option (Right to Buy)	\$ 41.85	^	^	^	^ ^ ^ (1)	08/13/2028	Common Stock	10,534
Stock Option (Right to Buy)	\$ 34.49	^	^	^	^ ^ ^ (1)	08/11/2026	Common Stock	8,643
Stock Option (Right to Buy)	\$ 18.05	^	^	^	^ ^ ^ (1)	08/17/2025	Common Stock	7,657

Edgar Filing: WOLTZ H O III - Form 5

Stock Option (Right to Buy)	\$ 23.95	Â	Â	Â	Â	Â	Â	Â <u>(1)</u>	02/11/2026	Common Stock	5,754
Stock Option (Right to Buy)	\$ 29.69	Â	Â	Â	Â	Â	Â	Â <u>(1)</u>	02/13/2028	Common Stock	14,340
Common Stock (Right to Buy)	\$ 37.06	Â	Â	Â	Â	Â	Â	Â <u>(1)</u>	02/07/2027	Common Stock	10,981
Stock Option (Right to Buy)	\$ 26.75	Â	Â	Â	Â	Â	Â	Â <u>(1)</u>	08/07/2027	Common Stock	16,094

Reporting Owners

Reporting Owner Name / Address	Relationships				Other
	Director	10% Owner	Officer		
WOLTZ H O III 1373 BOGGS DRIVE MOUNT AIRY, NC 27030	Â X	Â	Â	Chairman, President and CEO	Â

Signatures

James F. Petelle for H. O.
Woltz III

10/09/2018

__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).

(1) Options vest 1/3 annually beginning one year from grant date.

Note: File three copies of this Form, one of which must be manually signed. If space provided 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.