

Rooney Stephen  
Form 3  
May 01, 2018

**FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
**Washington, D.C. 20549**

OMB APPROVAL

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**INITIAL STATEMENT OF 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 * |         | 2. Date of Event Requiring Statement | 3. Issuer Name <b>and</b> Ticker or Trading Symbol                     |  |
| Â Rooney Stephen                          |         | (Month/Day/Year)                     | UNITY BANCORP INC /NJ/ [UNTY]  |  |
| (Last)                                    | (First) | (Middle)                             | 4. Relationship of Reporting Person(s) to Issuer                       | 5. If Amendment, Date Original Filed(Month/Day/Year) |
|   |         | 04/26/2018                           |  |  |
| C/O UNITY BANK, 64 OLD HIGHWAY 22         |         |                                      | (Check all applicable)   |  |
| (Street)                                  |         |                                      | <input type="checkbox"/> Director                                      | <input type="checkbox"/> 10% Owner                   |
|   |         |                                      | <input checked="" type="checkbox"/> Officer                            | <input type="checkbox"/> Other                       |
|   |         |                                      | (give title below)   | (specify below)                                      |
| CLINTON,Â NJÂ 08809                       |         |                                      | Chief Lending Officer/1st SVP  |  |
| (City)                                    | (State) | (Zip)                                | 6. Individual or Joint/Group Filing(Check Applicable Line)             |  |
|   |         |                                      | <input checked="" type="checkbox"/> Form filed by One Reporting Person |  |
|   |         |                                      | <input type="checkbox"/> Form filed by More than One Reporting Person  |  |

**Table I - Non-Derivative Securities Beneficially Owned**

| 1. Title of Security (Instr. 4) | 2. Amount of Securities Beneficially Owned (Instr. 4) | 3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5) | 4. Nature of Indirect Beneficial Ownership (Instr. 5) |
|---------------------------------|---|--|---|
| Common Stock                    | 4,975 <sup>(1)</sup>                                  | D  | Â   |
| Restricted Stock                | 3,775 <sup>(2)</sup>                                  | D  | Â   |

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

SEC 1473 (7-02)

**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.**

**Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**

| 1. Title of Derivative Security (Instr. 4) | 2. Date Exercisable and Expiration Date (Month/Day/Year) | 3. Title and Amount of Securities Underlying Derivative Security (Instr. 4) | 4. Conversion or Exercise Price of | 5. Ownership Form of Derivative | 6. Nature of Indirect Beneficial Ownership (Instr. 5) |
|--|--|---|------------------------------------|---------------------------------|---|
|--|--|---|------------------------------------|---------------------------------|---|

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|               | Date Exercisable | Expiration Date | Title        | Amount or Number of Shares | Derivative Security | Security: Direct (D) or Indirect (I) (Instr. 5) |
|---------------|------------------|-----------------|--------------|----------------------------|---------------------|---|
| Stock Options | Â (3)            | Â (3)           | Common Stock | 18,000 (4) \$ (3)          |                     | D Â   |

## Reporting Owners

| Reporting Owner Name / Address   | Relationships |           |                                 |       |
|--|---------------|-----------|---------------------------------|-------|
|  | Director      | 10% Owner | Officer                         | Other |
| Rooney Stephen<br>C/O UNITY BANK, 64 OLD HIGHWAY 22<br>CLINTON,Â NJÂ 08809 | Â             | Â         | Â Chief Lending Officer/1st SVP | Â     |

## Signatures

Stephen F. Rooney, poa Laurie Cook,  
Controller/SVP

05/01/2018

\*\*Signature of Reporting Person Date

## Explanation of Responses:

\* If the form is filed by more than one reporting person, *see* Instruction 5(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) 4,975 shares are held in an account at Computershare.

(2) 3,775 restricted shares are held in an account at Computershare which have future vesting dates. All shares were granted from the 2013 Stock Bonus Plan and are broken out as follows; 2,200 restricted shares were granted on 12/10/2014, of which 550 shares vest on 12/10/2018; 1,650 restricted shares were granted on 12/16/2015, of which 412 shares vest on 12/16/2018, and 413 shares vest on 12/16/2019; 1,200 restricted shares were granted on 12/15/2016, of which 300 shares vest on 12/15/2018, 12/15/2019, and 12/15/2020; 1,500 restricted shares were granted on 1/2/2018, of which 375 shares vest on 1/2/2019, 1/2/2020, 1/2/2021, and 1/2/2022. All restricted shares vest over a 4-yr. period from the date of issue.

(3) See Footnote 4

(4) A total of 18,000 stock options were issued of which 5,334 are currently exercisable. They are broken out as follows; 5,500 options were issued on 12/16/2015 from the 2015 Stock Option Plan at \$9.63 per share that expire on 12/16/2025; 5,000 options were issued on 12/15/2016 from the 2015 Stock Option Plan at \$14.60 per share that expire on 12/15/2026; 7,500 options were issued on 1/2/2018 from the 2017 Stock Option Plan at \$19.75 per share that expire on 1/2/2028. Stock Options vest over a 3-yr. period from the date of issue.

Â

### Remarks:

TotalÂ BeneficialÂ Ownership:Â 14,084

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.