Edgar Filing: FIRST DEFIANCE FINANCIAL CORP - Form 3

FIRST DEFIANCE FINANCIAL CORP

Form 3

January 23, 2014

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

OMB APPROVAL

OMB Number:

3235-0104

0.5

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF **SECURITIES**

January 31, Expires: 2005

Estimated average burden hours per

response...

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 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person * Statement FIRST DEFIANCE FINANCIAL CORP [FDEF] **Â** Shunck Marybeth (Month/Day/Year) 11/18/2013 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) **601 CLINTON STREET** (Check all applicable) (Street) 6. Individual or Joint/Group Filing(Check Applicable Line) Director 10% Owner _X_ Form filed by One Reporting _X__ Officer Other Person DEFIANCE, Â OHÂ 43512 (give title below) (specify below) Form filed by More than One SVP - Nor. Mkt Area President Reporting Person (City) (State) (Zip) **Table I - Non-Derivative Securities Beneficially Owned** 2. Amount of Securities 4. Nature of Indirect Beneficial 1. Title of Security Beneficially Owned Ownership (Instr. 4) Ownership (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) 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.

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		4. Conversion or Exercise	5. Ownership Form of	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	(Instr. 4) Title	Amount or Number of Shares	Price of Derivative Security	Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	

Edgar Filing: FIRST DEFIANCE FINANCIAL CORP - Form 3

Stock Options (right to buy)	(1)	12/19/2015	Common Stock	1,000	\$ 27.05	D	Â
Stock Options (right to buy)	(2)	04/16/2017	Common Stock	500	\$ 27.41	D	Â
Stock Options (right to buy)	(3)	04/21/2018	Common Stock	750	\$ 17.64	D	Â
Stock Options (right to buy)	(4)	04/20/2019	Common Stock	750	\$ 9.22	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships				
	Director	10% Owner	Officer	Other	
Shunck Marybeth 601 CLINTON STREET DEFIANCE, OH 43512	Â	Â	SVP - Nor. Mkt Area President	Â	

Signatures

/s/ Marybeth Shunck, by Donald P. Hileman, P.O.A.

01/23/2014

**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) Options vested equally over a five year period and are fully vested.
- (2) Options vested equally over a five year period and are fully vested.
- (3) Options vested equally over a five year period and are fully vested.
- (4) Options vest equally over a five year period and fully vest on 04/20/2014.

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.

Reporting Owners 2