

Smith Hatton C.V.
Form 4
April 18, 2019

FORM 4

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).

**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
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(Print or Type Responses)

1. Name and Address of Reporting Person *
Smith Hatton C.V.

(Last) (First) (Middle)

160 CLEAGE DRIVE

(Street)

BIRMINGHAM, AL 35217

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol

ServisFirst Bancshares, Inc. [SFBS]

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

04/17/2019

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)

6. Individual or Joint/Group Filing(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 Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership (Instr. 4)
COMMON STOCK	04/17/2019		A	579 ⁽¹⁾ A	\$ 0 363,573 ⁽²⁾	D	

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

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information contained in this form are not
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SEC 1474
(9-02)

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

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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.	
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
STOCK OPTION (RIGHT TO BUY)	\$ 5							11/28/2016	11/28/2021	COMMON STOCK	60,000 (3)
STOCK OPTION (RIGHT TO BUY)	\$ 18.57							06/15/2018	06/15/2023	COMMON STOCK	13,000 (4)

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Smith Hatton C.V. 160 CLEAGE DRIVE BIRMINGHAM, AL 35217	X			

Signatures

/s/ Davis S. Mange,
attorney-in-fact

04/18/2019

__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) Shares awarded are restricted stock awards which vest 100% in one year from the date of grant.

On June 16, 2014 ServisFirst Bancshares, Inc. declared a 3-for-1 stock split in the form of a stock dividend. On July 16, 2014, all holders of record of common stock as of the close of business on July 9, 2014 received a distribution of an additional two shares of ServisFirst Bancshares, Inc. common stock for each share held. As a result, the reporting person received 120,998 shares of ServisFirst Bancshares,

(2) Inc. common stock as of July 16, 2014. On November 16, 2016 ServisFirst Bancshares, Inc. declared a 2-for-1 stock split in the form of a stock dividend. On December 20, 2016, all holders of record of common stock as of the close of business on December 5, 2016 received a distribution of one additional share of ServisFirst Bancshares, Inc. common stock for each share held. As a result, the reporting person received 181,497 additional shares of ServisFirst Bancshares, Inc. common stock as of December 20, 2016.

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(3) On June 16, 2014 ServisFirst Bancshares, Inc. declared a 3-for-1 stock split in the form of a stock dividend. On July 16, 2014, all holders of record of common stock as of the close of business on July 9, 2014 received a distribution of an additional two shares of ServisFirst Bancshares, Inc. common stock for each share held. As a result, the reporting person received 20,000 options to purchase shares of ServisFirst Bancshares, Inc. common stock as of July 16, 2014. On November 16, 2016 ServisFirst Bancshares, Inc. declared a 2-for-1 stock split in the form of a stock dividend. On December 20, 2016, all holders of record of common stock as of the close of business on December 5, 2016 received a distribution of one additional share of ServisFirst Bancshares, Inc. common stock for each share held. As a result, the reporting person received 30,000 options to purchase shares of ServisFirst Bancshares, Inc. common stock as of December 20, 2016.

(4) On November 16, 2016 ServisFirst Bancshares, Inc. declared a 2-for-1 stock split in the form of a stock dividend. On December 20, 2016, all holders of record of common stock as of the close of business on December 5, 2016 received a distribution of one additional share of ServisFirst Bancshares, Inc. common stock for each share held. As a result, the reporting person received 6,500 options to purchase shares of ServisFirst Bancshares, Inc. common stock as of December 20, 2016.

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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