Brenner Timothy Form 5 February 13, 2019

Stock

**OMB APPROVAL** FORM 5 **OMB** UNITED STATES SECURITIES AND EXCHANGE COMMISSION 3235-0362 Number: Washington, D.C. 20549 Check this box if January 31, Expires: no longer subject 2005 to Section 16. Estimated average ANNUAL STATEMENT OF CHANGES IN BENEFICIAL Form 4 or Form burden hours per 5 obligations OWNERSHIP OF SECURITIES response... 1.0 may continue. See Instruction Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, 1(b). Form 3 Holdings Section 17(a) of the Public Utility Holding Company Act of 1935 or Section Reported 30(h) of the Investment Company Act of 1940 Form 4 Transactions Reported 1. Name and Address of Reporting Person \* 2. Issuer Name and Ticker or Trading 5. Relationship of Reporting Person(s) to Issuer **Brenner Timothy** Symbol NBT BANCORP INC [NBTB] (Check all applicable) 3. Statement for Issuer's Fiscal Year Ended (Last) (First) (Middle) (Month/Day/Year) Director 10% Owner \_ Officer (give title X Other (specify 12/31/2018 below) below) **52 SOUTH BROAD STREET** EVP & President Wealth Mgmt (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Reporting Filed(Month/Day/Year) (check applicable line) NORWICH, ÂNYÂ 13815 \_X\_ 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 2. Transaction Date 2A. Deemed 4. Securities 5. Amount of 6. Ownership 7. Nature of Security (Month/Day/Year) Transaction Acquired (A) or Securities Form: Direct Indirect Execution Date, if (Instr. 3) Code Disposed of (D) Beneficially (D) or Beneficial (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Owned at end Indirect (I) Ownership of Issuer's (Instr. 4) (Instr. 4) (A) Fiscal Year or (Instr. 3 and 4) Amount (D) Price **NBT** Bancorp Â J I 401k Inc. 12/31/2018 8.295 321.518 (1) Common Stock **NBT** Bancorp Â Â Â Â Â Â Â Inc. 57,468 D Common

#### Edgar Filing: Brenner Timothy - Form 5

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

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

| 1. Title of | 2.          | 3. Transaction Date | 3A. Deemed         | 4.          | 5.         | 6. Date Exer | cisable and | 7. Tit | le and     | 8. Price of |
|-------------|-------------|---------------------|--------------------|-------------|------------|--------------|-------------|--------|------------|-------------|
| Derivative  | Conversion  | (Month/Day/Year)    | Execution Date, if | Transaction | Number     | Expiration D | ate         | Amou   | ınt of     | Derivative  |
| Security    | or Exercise |                     | any                | Code        | of         | (Month/Day   | Year)       | Unde   | rlying     | Security    |
| (Instr. 3)  | Price of    |                     | (Month/Day/Year)   | (Instr. 8)  | Derivative | e            |             | Secur  | ities      | (Instr. 5)  |
|             | Derivative  |                     |                    |             | Securities |              |             | (Instr | . 3 and 4) |             |
|             | Security    |                     |                    |             | Acquired   |              |             | Ì      |            |             |
|             | ·           |                     |                    |             | (A) or     |              |             |        |            |             |
|             |             |                     |                    |             | Disposed   |              |             |        |            |             |
|             |             |                     |                    |             | of (D)     |              |             |        |            |             |
|             |             |                     |                    |             | (Instr. 3, |              |             |        |            |             |
|             |             |                     |                    |             | 4, and 5)  |              |             |        |            |             |
|             |             |                     |                    |             |            |              |             |        |            |             |
|             |             |                     |                    |             |            |              |             |        | Amount     |             |
|             |             |                     |                    |             |            | Date         | Expiration  |        | or         |             |
|             |             |                     |                    |             |            | Exercisable  | Date        | Title  | Number     |             |
|             |             |                     |                    |             |            |              |             |        | of         |             |
|             |             |                     |                    |             | (A) (D)    |              |             |        | Shares     |             |

#### **Reporting Owners**

| Reporting Owner Name / Address                                | Relationships |           |                             |       |  |
|---|---------------|-----------|-----------------------------|-------|--|
| •   | Director      | 10% Owner | Officer                     | Other |  |
| Brenner Timothy<br>52 SOUTH BROAD STREET<br>NORWICH, NY 13815 | Â             | Â         | EVP & President Wealth Mgmt | Â     |  |

## **Signatures**

By: Michael J. Chewens, Power of Attorney For: Timothy L.

Brenner

02/13/2019

\*\*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 were purchased through payroll deferral and/or dividend reinvestment from 1/1/2018 to 12/31/2018 through NBT Bancorp Inc. 401k Plan.

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.

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