

MCCONNELL MARC H

Form 4

June 04, 2018

**FORM 4**
**UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
**Washington, D.C. 20549**

OMB APPROVAL

OMB Number: 3235-0287

Expires: January 31, 2005

Estimated average burden hours per response... 0.5

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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
MCCONNELL MARC H

2. Issuer Name **and** Ticker or Trading  
Symbol  
ARTS WAY MANUFACTURING  
CO INC [ARTW]

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction  
(Month/Day/Year)  
05/31/2018

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

5556 HIGHWAY 9

(Street)

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

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
☒ Form filed by One Reporting Person  
☐ Form filed by More than One Reporting  
Person

ARMSTRONG, IA 50514

(City) (State) (Zip)

**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 Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount (1)	(A) or (D)	Price
Common Stock	05/31/2018		A		1,000	A	\$ 0
Common Stock					48,000 (2)	D	
Common Stock					5,000	I	By IRA #1
Common Stock					580	I	By IRA #2
Common Stock					4,250	I	By spouse
Common Stock					5,000	I	By child #1

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Common Stock 5,000 I By child #2

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

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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)

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. Pri Deriv Secur (Instr.	
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option (Right to Buy)	\$ 8.66							04/28/2011	04/28/2021	Common Stock	2,000
Stock Option (Right to Buy)	\$ 6.75							04/26/2012	04/26/2022	Common Stock	2,000
Stock Option (Right to Buy)	\$ 6.4							04/25/2013	04/25/2023	Common Stock	2,000
Stock Option (Right to Buy)	\$ 6.15							04/29/2014	04/29/2024	Common Stock	2,000
Stock Option (Right to Buy)	\$ 4.7							04/22/2015	04/22/2025	Common Stock	2,000

## Reporting Owners

Reporting Owner Name / Address	Relationships
	Director   10% Owner   Officer   Other
MCCONNELL MARC H 5556 HIGHWAY 9 ARMSTRONG, IA 50514	X

## Signatures

/s/ Amanda Lorentz as attorney-in-fact for Marc H. McConnell pursuant to power of attorney previously filed.

06/04/2018

\_\_\_\_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) Represents 1,000 shares of fully-vested restricted stock granted pursuant to the director compensation plan.  
Includes (i) 3,000 shares of restricted stock for which the risks of forfeiture lapse on 1/29/19; (ii) 8,000 shares of restricted stock for
- (2) which the risks of forfeiture lapse in 4,000 share increments on each of 1/27/19 and 1/27/20; and (iii) 12,000 shares of restricted stock for which the risks of forfeiture lapse in 4,000 share increments on each of 2/5/19, 2/5/20 and 2/5/21.

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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