Edgar Filing: MIDDLEFIELD BANC CORP - Form 3

MIDDLEFIELD BANC CORP

Form 3

January 20, 2017

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

OMB APPROVAL

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SECURITIES

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

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 MIDDLEFIELD BANC CORP [MBCN] VALERIAN WILLIAM A ET (Month/Day/Year) AL 01/12/2017 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 15985 EAST HIGH STREET (Check all applicable) (Street) 6. Individual or Joint/Group Filing(Check Applicable Line) 10% Owner _ Director _X_ Form filed by One Reporting Officer _Other Person (give title below) (specify below) MIDDLEFIELD, OHÂ 44062 Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 4. Nature of Indirect Beneficial 1. Title of Security 2. Amount of Securities Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) Â Common Stock D 52,760 Common Stock I held by spouse 4,613 held by Valerian Family CRUT Common Stock I 20,729 Number Two 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

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

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1. Title of Derivative Security (Instr. 4)

Expiration Date (Month/Day/Year)

2. Date Exercisable and 3. Title and Amount of Securities Underlying **Derivative Security** (Instr. 4)

Conversion or Exercise Price of Derivative Security

6. Nature of Indirect Ownership Beneficial Ownership (Instr. 5) Form of Derivative

Date Exercisable

Expiration Title Date

Amount or Number of Shares

Direct (D) or Indirect (I) (Instr. 5)

5.

Security:

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

VALERIAN WILLIAM A ET AL 15985 EAST HIGH STREET MIDDLEFIELD, OHÂ 44062

ÂX

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Signatures

William A. Valerian by James R. Heslop, II Power of Attorney

01/20/2017

**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).

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.

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