## Edgar Filing: NBT BANCORP INC - Form 4

| NBT BANCO<br>Form 4   |                                      |   |   |   |      |                    |                  |  |   |  |  |  |  |
|---|--------------------------------------|---|---|---|------|--------------------|------------------|--|---|--|--|--|--|
| August 13, 20   |                                      |   |   |   |      |                    |                  |  |   | OMB A  | PPROVAL  |  |  |
| FORM  | <b>14</b> UNITED                     | STATES  |   |   |      | ND EX(<br>D.C. 20: |                  | NGE  | COMMISSION  | OMB<br>Number:                                   | 3235-0287  |  |  |
| Check thi   |                                      | STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF<br>SECURITIES |   |   |      |                    |                  |  |   |  | January 31,  |  |  |
| if no long<br>subject to<br>Section 10<br>Form 4 or<br>Form 5     | 6.<br>r                              |   |   |   |      |                    |                  |  |   |  | Expires: 200<br>Estimated average<br>burden hours per<br>response 0. |  |  |
| obligation<br>may conti<br><i>See</i> Instru<br>1(b).             | inue. Section 17                     | (a) of the  |   | ility H   | lold | ing Com            | npany            | Act o  | ge Act of 1934,<br>of 1935 or Section<br>40   | 1  |  |  |  |
| (Print or Type R  | Responses)                           |   |   |   |      |                    |                  |  |   |  |  |  |  |
| 1. Name and Address of Reporting Person <u>*</u><br>RAVEN DAVID E |                                      |   | 2. Issuer Name and Ticker or Trading<br>Symbol 5. Relation<br>Issuer 15. Relation<br>Issuer 15. Relation  |   |      |                    |                  |  | -   | hip of Reporting Person(s) to                    |  |  |  |
| (Last)  | (First) (                            | Middle)   |   |   |      | L                  | נטוט             |  | (Checl  | ek all applicable)                               |  |  |  |
| 52 SOUTH BROAD STREET   |                                      |   | 3. Date of Earliest Transaction<br>(Month/Day/Year)<br>08/13/2013   |   |      |                    |                  |  | Director<br>X Officer (give<br>below)<br>President  | title 10% Owner<br>below)<br>t of Retail Banking |  |  |  |
|   |                                      |   |   | 4. If Amendment, Date Original<br>Filed(Month/Day/Year) |      |                    |                  |  | <ul> <li>6. Individual or Joint/Group Filing(Check</li> <li>Applicable Line)</li> <li>_X_ Form filed by One Reporting Person</li> <li> Form filed by More than One Reporting</li> </ul> |  |  |  |  |
| (City)  | (State)                              | (Zip)   | Tabl  | a I No  | n D  | orivotivo          | Soone            | itios A a  | Person  | or Bonoficial                                    | ly Ownod   |  |  |
| 1.Title of<br>Security<br>(Instr. 3)                              | 2. Transaction Da<br>(Month/Day/Year | ) Execution any   | Table I - Non-Derivative Securitiesemed3.4. Securitieson Date, ifTransactionAcquired (A) or<br>CodeDisposed of (D)/Day/Year)(Instr. 8)(Instr. 3, 4 and 5) |   |      |                    | or<br>))         | 5. Amount of<br>Securities6. Ownership<br>Form: Direct7. Nat<br>IndirectBeneficially<br>Owned(D) or<br>Indirect (I)Beneficially<br>OwnedFollowing<br>Reported(Instr. 4)(Instr. |   |  |  |  |  |
| NBT   |                                      |   |   | Code  | V    | Amount             | (A)<br>or<br>(D) | Price  | Transaction(s)<br>(Instr. 3 and 4)  |  |  |  |  |
| Bancorp<br>Inc.<br>Common<br>Stock                                | 08/13/2013                           |   |   | S   |      | 4,453              | D                | \$ 23  | 46,886.032  | D  |  |  |  |
| NBT<br>Bancorp<br>Inc.<br>Common<br>Stock                         |                                      |   |   |   |      |                    |                  |  | 21,013.4739   | I  | 401k   |  |  |
| NBT<br>Bancorp  |                                      |   |   |   |      |                    |                  |  | 2,989.7107  | I  | NBT<br>Bancorp   |  |  |

Inc. Common Stock

Reminder: Report on a separate line for each class of securities beneficially 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 Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transactio<br>Code<br>(Instr. 8) | of      |                       |                    | 7. Title and Amount<br>Underlying Securitie<br>(Instr. 3 and 4) |                              |
|---|---|---|---|--|---------|-----------------------|--------------------|---|------------------------------|
|   |   |   |   | Code V                                 | (A) (D) | Date Exercisable      | Expiration<br>Date | Title   | Amou<br>or<br>Numb<br>of Sha |
| Non-Qualified<br>Stock Option<br>(right to buy)     | \$ 20.19  |   |   |  |         | 01/15/2011 <u>(1)</u> | 01/15/2020         | NBT<br>Bancorp<br>Inc.<br>Common<br>Stock                       | 18,0                         |
| Non-Qualified<br>Stock Option<br>(right to buy)     | \$ 20.3617  |   |   |  |         | 01/15/2009(2)         | 01/15/2018         | NBT<br>Bancorp<br>Inc.<br>Common<br>Stock                       | 17,0                         |
| Non-Qualified<br>Stock Option<br>(right to buy)     | \$ 22.1715  |   |   |  |         | 01/01/2005 <u>(2)</u> | 01/01/2014         | NBT<br>Bancorp<br>Inc.<br>Common<br>Stock                       | 15,8                         |
| Non-Qualified<br>Stock Option<br>(right to buy)     | \$ 22.352   |   |   |  |         | 01/01/2007 <u>(2)</u> | 01/01/2016         | NBT<br>Bancorp<br>Inc.<br>Common<br>Stock                       | 20,00                        |
| Non-Qualified<br>Stock Option                       | \$ 23.2708  |   |   |  |         | 01/20/2006(2)         | 01/20/2015         | NBT<br>Bancorp  | 16,2                         |

## (right to buy)

Non-Qualified Stock Option \$25.38 (right to buy)

Non-Qualified Stock Option \$ 25.762 (right to buy)

**Reporting Owners** 

| Reporting Owner Name / Address                              | Relationships |             |                |               |       |  |  |  |
|---|---------------|-------------|----------------|---------------|-------|--|--|--|
|   | Director      | 10% Owner   | Officer        |               | Other |  |  |  |
| RAVEN DAVID E<br>52 SOUTH BROAD STREET<br>NORWICH, NY 13815 |               |             | President of R | etail Banking |       |  |  |  |
| Signatures  |               |             |                |               |       |  |  |  |
| By: F. Sheldon Prentice, Power<br>Raven                     | of Attorn     | ey For: Dav | id E.          | 08/13/2013    |       |  |  |  |
| <u>**</u> 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) Pursuant to NBT Bancorp Inc. Omnibus Stock Option Agreement the grant vests 40% for first year, 20% annually for following years.
- (2) Pursuant to NBT Bancorp Inc. 1993 Stock Option Plan grant vests 40% for first year, 20% annually for following years.

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.

Inc. Common Stock NBT Bancorp 01/15/2010(1) 01/15/2019 Inc. 18,0 Common Stock NBT Bancorp 01/01/2008(2) 01/01/2017 Inc. 19,0 Common Stock