### Edgar Filing: PEOPLES BANCORP OF NORTH CAROLINA INC - Form 5

#### PEOPLES BANCORP OF NORTH CAROLINA INC

Form 5

February 10, 2016

**OMB APPROVAL** FORM 5

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 Check this box if

**OMB** 3235-0362 Number: January 31, Expires: 2005

no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction

ANNUAL STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Estimated average burden hours per response... 1.0

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

| reported   |           |          |  |   |  |  |  |  |
|--|-----------|----------|--|---|--|--|--|--|
| 1. Name and Address of Reporting Person * HOWARD DOUGLAS S |           |          | 2. Issuer Name <b>and</b> Ticker or Trading<br>Symbol<br>PEOPLES BANCORP OF NORTH<br>CAROLINA INC [PEBK] | 5. Relationship of Reporting Person(s) to Issuer  (Check all applicable)            |  |  |  |  |
| (Last)   | (First)   | (Middle) | 3. Statement for Issuer's Fiscal Year Ended (Month/Day/Year) 12/31/2015                                  | _X Director 10% Owner<br>Officer (give title Other (specify below)                  |  |  |  |  |
| 518 WEST C   | STREET    |          |  |   |  |  |  |  |
|  | (Street)  |          | 4. If Amendment, Date Original Filed(Month/Day/Year)   | 6. Individual or Joint/Group Reporting  (check applicable line)                     |  |  |  |  |
| NEWTON,Â   | NCÂ 28658 |          |  | _X_ Form Filed by One Reporting Person Form Filed by More than One Reporting Person |  |  |  |  |
| (City)   | (State)   | (Zin)    |  |   |  |  |  |  |

| (City)                               | (State)                                 | (Zip) Ta  | ble I - Non-Do                          | erivative S                   | Securi                       | ties Acquire  | d, Disposed of, o  | r Beneficially   | Owned   |
|--------------------------------------|---|---|---|-------------------------------|------------------------------|---------------|--|--|---|
| 1.Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3.<br>Transaction<br>Code<br>(Instr. 8) | 4. Securi or Dispo (Instr. 3, | sed of<br>4 and<br>(A)<br>or | ` ′           | 5. Amount of<br>Securities<br>Beneficially<br>Owned at end<br>of Issuer's<br>Fiscal Year<br>(Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
| Common<br>Stock                      | 01/29/2015                              | Â   | L(1)                                    | 66                            | A                            | \$<br>18.9699 | 14,894.9319  | D  | Â   |
| Common<br>Stock                      | 02/02/2015                              | Â   | <u>L(1)</u>                             | 38                            | A                            | \$<br>18.9699 | 14,932.9319  | D  | Â   |
| Common<br>Stock                      | 02/19/2015                              | Â   | A(2)                                    | 375                           | A                            | \$ 18         | 15,307.9319  | D  | Â   |
| Common<br>Stock                      | 02/27/2015                              | Â   | <u>L(1)</u>                             | 38                            | A                            | \$<br>18.6999 | 15,345.9319  | D  | Â   |
|                                      | 04/24/2015                              | Â   | <u>L(1)</u>                             | 61                            | A                            | \$ 18.67      | 15,406.9319  | D  | Â   |

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| Common<br>Stock                                       |            |   |             |  |   |               |             |   |                            |
|---|------------|---|-------------|--|---|---------------|-------------|---|----------------------------|
| Common<br>Stock                                       | 05/05/2015 | Â | L(1)        | 37   | A | \$<br>18.6393 | 15,443.9319 | D | Â                          |
| Common<br>Stock                                       | 06/02/2015 | Â | L(1)        | 38   | A | \$<br>18.4899 | 15,481.9319 | D | Â                          |
| Common<br>Stock                                       | 07/30/2015 | Â | L(1)        | 109  | A | \$<br>18.4199 | 15,590.9319 | D | Â                          |
| Common<br>Stock                                       | 08/27/2015 | Â | <u>L(1)</u> | 37   | A | \$ 18.98      | 15,627.9319 | D | Â                          |
| Common<br>Stock                                       | 10/22/2015 | Â | L(1)        | 70   | A | \$<br>18.5699 | 15,697.9319 | D | Â                          |
| Common<br>Stock                                       | 10/30/2015 | Â | <u>L(1)</u> | 36   | A | \$<br>19.4499 | 15,733.9319 | D | Â                          |
| Common<br>Stock                                       | 12/31/2015 | Â | <u>L(1)</u> | 37   | A | \$<br>19.4174 | 15,770.9319 | D | Â                          |
| Common<br>Stock                                       | Â          | Â | Â           | Â  | Â | Â             | 450         | I | shares<br>owned<br>by wife |
| Reminder: Report on a separate line for each class of |            |   |             | Persons who respond to the collection of information |   |               |             |   |                            |

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.

SEC 2270 (9-02)

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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<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transaction<br>Code<br>(Instr. 8) | 5.<br>Number<br>of<br>Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3,<br>4, and 5) |                     | ate                | Secur | unt of<br>rlying                       | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) |
|---|---|--------------------------------------|---|---|---|---------------------|--------------------|-------|--|---|
|   |   |                                      |   |   | (A) (D)   | Date<br>Exercisable | Expiration<br>Date | Title | Amount<br>or<br>Number<br>of<br>Shares |   |

# **Reporting Owners**

Relationships Reporting Owner Name / Address

Director 10% Owner Officer Other

2 Reporting Owners

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HOWARD DOUGLAS S 518 WEST C STREET Â X Â Â Â NEWTON, NCÂ 28658

# **Signatures**

Douglas S. Howard 02/10/2016

\*\*Signature of Date
Reporting Person

# **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 acquired through Deferral Plan
- (2) Restricted Stock Units granted 2-19-15, based on \$18.00 per share.

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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