

Bates Kevin Dean
Form 4
April 27, 2018

FORM 4

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

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

OMB APPROVAL

OMB
Number: 3235-0287
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person *
Bates Kevin Dean

2. Issuer Name **and** Ticker or Trading
Symbol
NICHOLAS FINANCIAL INC
[NICK]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)
2454 MCMULLEN BOOTH
DRIVE, BLDG C

3. Date of Earliest Transaction
(Month/Day/Year)
04/24/2018

____ Director ____ 10% Owner
__X__ Officer (give title ____ Other (specify
below) below)
Senior VP Branch Operations

(Street)
CLEARWATER, FL 33759

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

6. Individual or Joint/Group Filing(Check
Applicable Line)
__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 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 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)
				(A) or (D) Code V Amount (D) Price			
Common Stock	04/24/2018		M	5,500 A \$ 0.7727	51,036	D	
Common Stock	04/24/2018		M	5,500 A \$ 1.2	56,536	D	

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.**

SEC 1474
(9-02)

Edgar Filing: Bates Kevin Dean - Form 4

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)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option(right to buy)	\$ 0.77 ⁽¹⁾	04/24/2018		M		5,500		⁽²⁾	11/06/2018	Common Stock	5,500
Stock Option(right to buy)	\$ 1.2 ⁽¹⁾	04/24/2018		M		5,500		⁽³⁾	05/05/2019	Common Stock	5,500
Stock Option(right to buy)	\$ 10.96 ⁽¹⁾							⁽⁴⁾	05/09/2021	Common Stock	1,500
Stock Option(right to buy)	\$ 10.87 ⁽¹⁾							⁽⁵⁾	05/03/2022	Common Stock	10,000
Common Stock	\$ 14.37 ⁽¹⁾							⁽⁶⁾	06/13/2024	Common Stock	25,000

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
Bates Kevin Dean 2454 MCMULLEN BOOTH DRIVE BLDG C CLEARWATER, FL 33759	Senior VP Branch Operations

Signatures

/s/Irina Nashtatik, Attorney
in fact 04/24/2018

 **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) The exercise price has been reduced by \$2.00 per the Equity Plan requirements as a result of the December 2012 special cash dividend.
- (2) The option vested in five equal installments beginning on November 6, 2008.
- (3) The option vested in five equal installments beginning on May 5, 2009.
- (4) The option vested in five equal installments beginning on May 9, 2011.
- (5) The option vested in five equal installments beginning on May 3, 2012.
- (6) The option vested in five equal installments beginning on June 13, 2014.

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.