Edgar Filing: PATRIOT NATIONAL BANCORP INC - Form 3

PATRIOT NATIONAL BANCORP INC

Form 3

August 23, 2016

FORM 3

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

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

OMB APPROVAL

OMB Number:

3235-0104

Expires:

response...

January 31, 2005

0.5

Estimated average burden hours per

SECURITIES

Section 17(a) of the Public Utility Holding Company Act of 1935 or Section

30(h) of the Investment Company Act of 1940

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,

(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 PATRIOT NATIONAL BANCORP INC [PNBK] À CUREAU PETER D (Month/Day/Year) 08/19/2016 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) C/O PATRIOT NATIONAL (Check all applicable) BANCORP, INC., Â 900 BEDFORD STREET 10% Owner Director (Street) _X__ Officer Other 6. Individual or Joint/Group (give title below) (specify below) Filing(Check Applicable Line) Interim Pres & Interim COO _X_ Form filed by One Reporting Person STAMFORD. CTÂ 06901 Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 3.

1.Title of Security
2. Amount of Securities
(Instr. 4)
Beneficially Owned

Beneficially Owned
(Instr. 4)

Form:
Direct (D)
or Indirect
(I)

4. Nature of Indirect Beneficial Ownership

(Instr. 5)

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

SEC 1473 (7-02)

(Instr. 5)

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 Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security 3. Title and Amount of 5. 6. Nature of Indirect 2. Date Exercisable and 4 (Instr. 4) **Expiration Date** Securities Underlying Conversion Ownership Beneficial Ownership (Month/Day/Year) **Derivative Security** or Exercise Form of (Instr. 5) Derivative (Instr. 4) Price of Derivative Security: Date **Expiration Title** Amount or Security Direct (D) Exercisable Number of Date

Edgar Filing: PATRIOT NATIONAL BANCORP INC - Form 3

Shares

or Indirect (I) (Instr. 5)

Reporting Owners

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

CUREAU PETER D C/O PATRIOT NATIONAL BANCORP, INC. 900 BEDFORD STREET STAMFORD, CTÂ 06901

 \hat{A} \hat{A} \hat{A} Interim Pres & Interim COO \hat{A}

Signatures

/s/ Peter D. 08/23/2016 Cureau

**Signature of Date
Reporting Person

Explanation of Responses:

No securities are beneficially owned

- * 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.

Reporting Owners 2