

SHEPHERD CURTIS E
Form 3/A
May 03, 2019

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF 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

(Print or Type Responses)

| | | | | |
|--|---|---|--|--|
| <p>1. Name and Address of Reporting Person *</p> <p>Â SHEPHERD CURTIS E</p> <p>(Last) (First) (Middle)</p> <p>105 PROGRESSIVE DR.</p> <p>(Street)</p> <p>COLUMBUS</p> <p>GROVE,Â OHÂ 45830</p> <p>(City) (State) (Zip)</p> | <p>2. Date of Event Requiring Statement</p> <p>(Month/Day/Year)</p> <p>04/24/2019</p> | <p>3. Issuer Name and Ticker or Trading Symbol</p> <p>UNITED BANCSHARES INC/OH [UBOH]</p> | <p>4. Relationship of Reporting Person(s) to Issuer</p> <p>(Check all applicable)</p> <p><input type="checkbox"/> Director <input type="checkbox"/> 10% Owner</p> <p><input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other</p> <p>(give title below) (specify below)</p> <p>EVP of Retail Banking</p> | <p>5. If Amendment, Date Original Filed(Month/Day/Year)</p> <p>05/03/2019</p> <p>6. Individual or Joint/Group Filing(Check Applicable Line)</p> <p><input checked="" type="checkbox"/> Form filed by One Reporting Person</p> <p><input type="checkbox"/> Form filed by More than One Reporting Person</p> |
|--|---|---|--|--|

Table I - Non-Derivative Securities Beneficially Owned

| 1. Title of Security (Instr. 4) | 2. Amount of Securities Beneficially Owned (Instr. 4) | 3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5) | 4. Nature of Indirect Beneficial Ownership (Instr. 5) |
|------------------------------------|--|---|--|
| Common Stock | 1,122 | I | Shares held in The Shepherd Family Trust. ⁽¹⁾ |
| Common Stock | 14,904 | I | ESOP ⁽²⁾ |

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

SEC 1473 (7-02)

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

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

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| | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | Derivative Security | Security: Direct (D) or Indirect (I) (Instr. 5) | |
|-----------------------------|---------------------------|-----------------|--------------|----------------------------|---------------------|---|---|
| Stock Option (right to buy) | 11/15/2017 ⁽³⁾ | 11/15/2026 | Common Stock | 5,805 | \$ 19.32 | D | Â |
| Stock Option (right to buy) | 07/26/2018 ⁽⁴⁾ | 07/26/2027 | Common Stock | 4,952 | \$ 21.7 | D | Â |
| Stock Option (right to buy) | 08/24/2019 ⁽⁵⁾ | 08/24/2028 | Common Stock | 4,828 | \$ 23.3 | D | Â |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|-------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| SHEPHERD CURTIS E 105 PROGRESSIVE DR. COLUMBUS GROVE, OH 45830 | Â | Â | Â EVP of Retail Banking | Â |

Signatures

/s/ Curtis E. Shepherd
Date: 05/03/2019

**Signature of Reporting Person

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).
- (1) Shares held in The Shepherd Family Trust in which Curtis E. Shepherd and Christine A Shepherd are Trustees.
- (2) Shares held in trust through the Corporation's Employee Stock Ownership Plan ("ESOP") for the reporting person.
- (3) The options vest over three years, at a rate of 33.33% per year (33.34% in the final year), beginning on November 15, 2017.
- (4) The options vest over three years, at a rate of 33.33% per year (33.34% in the final year), beginning on July 26, 2018.
- (5) The options vest over three years, at a rate of 33.33% per year (33.34% in the final year), beginning on August 24, 2019.

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.