SEC Form 5

FORM 5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b)

NBT Bancorp Inc. Common Stock

NBT Bancorp Inc. Common Stock

Form 3 Holdings Reported.

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

ANNUAL STATEMENT OF CHANGES IN BENEFICIAL **OWNERSHIP**

OMB APPROVAL OMB Number: 3235-0362

Estimated average burden hours per response: 1.0

| | | Filed pursuant to Section 1 |
|--------|-------------------------------|-----------------------------|
| \cup | Form 4 Transactions Reported. | or Section 30(h) of t |

12/31/2013

| iled pursuant to Section 16(a) of the Securities Exchange A | Act of 1 | 1934 |
|---|----------|------|
| or Section 30(h) of the Investment Company Act of 19 | | |

| | ress of Reporting Person [*] ELO JOSEPH A | | | r Trading Symbol <u>NC</u> [NBTB] | | Relationship of Repo heck all applicable) X Director | • • • • | Person(s) to Issuer 10% Owner | | | |
|---|---|---|-----------------------------------|---|-------------------|---|--|--|--|-------------------------|--|
| (Last) 52 SOUTH BF | (First) ROAD STREET | (Middle) | 3. Statement fo 12/31/2013 | or Issuer's Fisc | cal Year Ended (M | /Year) | Officer (give tit below) | | ther (specify elow) | | |
| (Street) NORWICH (City) | NY (State) | 4. If Amendme | nt, Date of Ori | ginal Filed (Month | | 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 | | | | | | | | | | | |
| (Month/Day/Year) | | 2A. Deemed Execution Date, if any | 3. Transaction Code (Instr. | 4. Securities Acquired (A) or Dispose Of (D) (Instr. 3, 4 and 5) | | | 5. Amount of Securities Beneficially | 6. Ownership Form: Direct | 7. Nature of Indirect Beneficial | | |
| | | | (Month/Day/Year) | 8) | Amount | (A) or (D) | Price | Owned at end of Issuer's Fiscal Year (Instr. 3 and 4) | (D) or Indirect (I) (Instr. 4) | Ownership (Instr. 4) | |
| NDT Democra Inc. Common Starle 12/21 | | 12/21/2012 | | т | 2 2 40 2 4 | | ¢0 (1) | 62 579 166 | | by | |

| Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned | | | | | | | |
|---|--|--|--|--|--|--|--|
| (e.g., puts, calls, warrants, options, convertible securities) | | | | | | | |

2,248.24

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| 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) | of | | 6. Date Exercisable and Expiration Date (Month/Day/Year) | | 7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4) | | 8. Price of Derivative Security (Instr. 5) | 9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4) | 10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 11. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---|---|--|---|---|-----|-----|--|--------------------|--|--|---|--|--|--|
| | | | | | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | | | |
| Non- Qualified Stock Option (right to buy) | \$20.7492 | | | | | | 05/01/2006 ⁽²⁾ | 05/01/2015 | NBT Bancorp Inc. Common Stock | 1,500 | | 1,500 | D | |
| Non- Qualified Stock Option (right to buy) | \$21.74 | | | | | | 05/01/2007 ⁽²⁾ | 05/01/2016 | NBT Bancorp Inc. Common Stock | 1,500 | | 1,500 | D | |
| Non- Qualified Stock Option (right to buy) | \$22.4842 | | | | | | 05/01/2008 ⁽²⁾ | 05/01/2017 | NBT Bancorp Inc. Common Stock | 1,500 | | 1,500 | D | |
| Non- Qualified Stock Option (right to buy) | \$22.5508 | | | | | | 05/01/2009 ⁽²⁾ | 05/01/2018 | NBT Bancorp Inc. Common Stock | 1,500 | | 1,500 | D | |
| Non- Qualified Stock Option (right to buy) | \$23.2708 | | | | | | 01/20/2006 ⁽²⁾ | 01/20/2015 | NBT Bancorp Inc. Common Stock | 630 | | 630 | D | |

Explanation of Responses:

1. Shares acquired under NBT Bancorp Dividend Reinvestment Plan during period of 1/1/2013 to 12/31/2013 at prices ranging from \$ 22.0928 to \$25.1248.

2. Pursuant to NBT Non-Employee Director, Divisional Director and Subsidiary Director Stock Option Plan grant vests 40% for first year, 20% annually for following years.

\$0⁽¹⁾

63,578.166

20,684

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D

Corporation

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02/12/2014

** Signature of Reporting Person Date

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

* 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.