SEC Form 4

FORM 4

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

OMB APPROVAL

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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

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1. Name and Addr Brenner Tim	ess of Reporting Per <u>10thy</u>	son*			ier Name and Ticke BANCORP	0			(Check	ationship of Reporti (all applicable) Director Officer (give title	10% (
(Last) 52 SOUTH BR	(First) OAD STREET	(Middle)		3. Date of Earliest Transaction (Month/Day/Year) 03/23/2020						below) EVP & Preside	below)
(Street)				4. If Ai	mendment, Date of	Original Filed	l (Month/Day/Y	′ear)	6. Indiv Line)	vidual or Joint/Grou	p Filing (Check	Applicable
NORWICH	NY	13815							X	Form filed by On	e Reporting Per	son
(City)	(State)	(Zip)								Form filed by Mo Person	re than One Re	porting
	Та	ble I - Nor	n-Derivat	ive S	ecurities Acqu	uired, Disp	oosed of, o	or Ben	eficially	v Owned		
Date		2. Transacti Date (Month/Day		2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities / Disposed Of (5)			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	

								Reported		(Instr. 4)
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(11150.4)
NBT Bancorp Inc. Common Stock	03/23/2020		A		3,697 ⁽¹⁾	Α	\$0.0	61,812	D	
NBT Bancorp Inc. Common Stock	03/23/2020		A		3,702 ⁽²⁾	Α	\$0.0	65,514	D	
NBT Bancorp Inc. Common Stock								330.421	Ι	401k

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. Transa Code (8)		5. Nu of Deriv Secu Acqu (A) of Dispo of (D) (Instr and 5	rative rities ired r osed) . 3, 4	Expiration Date (Month/Day/Year)		xpiration Date Amount of Month/Day/Year) Securities			Date Amount of De Year) Securities Se Underlying (In Derivative Security (Instr.		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares						

Explanation of Responses:

1. Pursuant to NBT Bancorp Inc. Omnibus Restricted Stock Unit Agreement the grant vests 20% annually.

2. Pursuant to NBT Bancorp Inc. Omnibus Performance Unit Agreement, each member of a select group of Management is entitled to receive an award based on Company performance goals in the form of restricted stock units that vest one year following the end of a performance period.

By: Annette L. Burns, Power	
of Attorney For: Timothy L.	03/25/2020
<u>Brenner</u>	

** 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.