NICHOLAS FINANCIAL INC

Form 4

September 06, 2013

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

OMB Number:

Expires:

3235-0287

Check this box if no longer

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

January 31, 2005

subject to Section 16. Form 4 or

SECURITIES

Estimated average burden hours per 0.5

OMB APPROVAL

Form 5 obligations may continue.

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

response...

See Instruction

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person *

Fink Scott

2. Issuer Name and Ticker or Trading

Symbol

NICHOLAS FINANCIAL INC

[NICK]

5. Relationship of Reporting Person(s) to

Issuer

(Last) (First) (Middle)

3. Date of Earliest Transaction

X_ Director 10% Owner

(Check all applicable)

(Month/Day/Year)

08/26/2013

Officer (give title below)

Other (specify

2454 MCMULLEN BOOTH RD #C-501B

(Street)

(State)

(City)

(Instr. 3)

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

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

CLEARWATER, FL 33759

1. Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if

08/26/2013

(Zip)

(Month/Day/Year)

3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 3, 4 and 5) (Instr. 8)

5. Amount of 6. Ownership 7. Nature of Securities Form: Direct Indirect Beneficially (D) or Beneficial Ownership Owned Indirect (I) Following (Instr. 4) (Instr. 4)

D

(A) or

Reported Transaction(s) (Instr. 3 and 4)

Code V Amount (D) Price

P 8.250 9.250

Stock

Common

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)

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

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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. Transacti Code (Instr. 8)	5. Number on Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	Expiration D	. Date Exercisable and xpiration 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)	\$ 4.2 (1)	08/26/2012		С	8,250	(2)	08/25/2013	Common Stock	8,250	9
Stock Option (right to buy)	\$ 11.44 (<u>4)</u>					(3)	08/07/2022	Common Stock	5,000	

Reporting Owners

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			

Fink Scott

2454 MCMULLEN BOOTH RD #C-501B X

CLEARWATER, FL 33759

Signatures

/s/ Scott Fink 09/06/2013 **Signature of Date Reporting Person

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).
- This exercise price has been reduced by \$2.00 per the Equity Plan requirements as a result of the December 2012 special cash dividend. **(1)** The exercise price and the number of shares have also been amended as a result of numerous stock splits and stock dividends.
- (2) This option vests in three equal annual installments beginning on August 25, 2003.
- (3) This option vests in three equal annual installments beginning on August 7, 2012.
- (4) This amount has been reduced by \$2.00 per the Equity Plan requirements as a result of the December 2012 special cash dividend.

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.

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